

# Human Resources Management Resource Suite

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Ideas, frameworks and tools for HR professionals  
The SPARC resource suite for effective people management

## Foreword

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### SPARC

In 2008 the Nigerian and UK Governments decided to set up a partnership – the State Partnership for Accountability, Responsiveness and Capability (SPARC) – to work for good governance and reduce poverty in Nigeria. The two governments agreed to work together, first to support governance reforms in Enugu, Jigawa, Kaduna, Kano and Lagos States and at the federal level. SPARC now works in 10 of Nigeria's 36 States, and the programme will run until 2015.

During the course of the programme, Nigerian partners and SPARC have generated a wealth of information and knowledge, and set up many processes and procedures to improve governance, often surmounting considerable challenges in the process. In order to extract the utmost value from this unique and growing accumulation of know-how, we are finding new ways of sharing programme outputs to influence wider change.

The focus of this guide is on arguably one of the most important and challenging areas of reform – people management – and how a modern, professional human resources management (HRM) approach can rise to this challenge.

### Human Resources Management

Professional HRM is needed to shape and facilitate the work of government so that when a state government sets its strategy, HRM can respond to build the capacity and manage the performance of civil servants to deliver the strategic objectives and services 'on the ground'. Change will not just happen. HRM is part of the means to make it happen. Strong 'people management' responds directly to the need for ministries, departments and agencies (MDAs) to become more focused on performance and accountability, and increases the chances of successful public service reform.

Professional HRM is a modern approach to people management which elevates HR officers from supportive administrators to professional strategists and advisers who are an integral part of the management team. It plays a key role in delivering a workforce that is fit for the future – not just for today. Modern HRM professionals understand the key drivers of government, the wider environment and the context in which their MDA operates. They systematically gather data and analyse trends, creating action plans, tracking progress and reviewing how HR influences the trends identified. They have a deep staff insight into skills, competencies, aspirations and needs.

### Philosophy

Our primary aim in developing this HRM Resource Suite is to make information on actual HRM concepts and practice widely available, both to those involved in the SPARC programme and to other people and organisations. The ideas, frameworks and tools

contained here have been developed, piloted and successfully launched by SPARC over the years, and it is intended that these materials will provide the reader with insights into the possibilities for modern HRM and encourage them to stimulate their own new initiatives.

### **What this Resource Suite is NOT**

This Resource Suite is not intended as a catalogue of off-the-shelf HRM solutions. It is neither a description of the current HRM arrangements in Nigerian state governments nor a prescription for the future. While it outlines internationally recognised HR best practice it is not intended that these constructs or concepts represent the 'right' or 'best' way of introducing professional HRM in Nigeria. There is no 'one size fits all' HRM model. To be effective the model needs to be developed from the ground up by the very people who understand the context of their operating environment the best – the HR officers and senior managers working in the public service.

As such, the ideas, frameworks and tools contained here are designed for the reform-minded and progressive reader to adopt, adapt and take forward as they see fit.

**Dr Joe Abah**

National Programme Manager, SPARC

## **How to Use the Resource Suite**

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These resources are not intended as a blueprint for cut and paste, or to be read cover to cover. Rather the matrix contains a series of materials that can 'be dipped into' and used according to the reader's own interests, reform agenda and appetite.

### **Step 1 – Scan the HRM and Human Resources Development (HRD) Resource Matrix Roadmap**

Begin by reviewing this introduction to see what the Resource Suite contains. Then identify your preferred starting point:

- Interested in understanding core HR theory and concepts and how these might benefit the organisation? *Look at Section One*
- Want to know how to design, modify or implement a new professional HRM model? *Look at Section Two*
- Want example tool and templates tools to adapt and use? *Look at Section Three*
- Need some prepared visual aids for training or briefing sessions? *Look at Section Four.*

### **Step 2 – Read or view the relevant resource in full.**

All of the documents in this Resource Suite are also available electronically on the CD at the back of the folder. The CD also includes PowerPoint presentations and Excel spreadsheets.

### **Step 3 – Use the material**

The resources can be used in many different ways. You may simply use them as an aide memoire or private study guide, or share them formally or informally with colleagues. You

may use them as a programme for analysing needs and planning HRM reforms. You may use the material as a training resource.

## How this Resource Suite is Organised

The Resource Suite is divided into four main sections.

**Section One: HRM Concepts** – These materials are designed to introduce the reader to core professional HRM concepts relevant to the public service.

**Section Two: HRM Frameworks** – These materials describe some of the key HRM processes and responsibilities in more detail for those interested in introducing modern HRM practices.

**Section Three: HRM Practitioner Tools** – These materials include guidance notes and templates for some of the most commonly used HRM procedures.

**Section Four: HRM Training Resources** – These materials include a number of PowerPoint presentations that can be adapted for use in training or briefing sessions.

The materials in each section are summarised below.

### Section One: HRM Concepts

Subsection Title		Brief Description
1A	What is HRM?	Explains HRM functions including planning, recruiting, training, appraising, disciplining, rewarding and developing the employee.
1B	Human Resources Management or Personnel Administration?	Explains the difference between the modern professional HRM approach to HR and the more traditional personnel administration approach.
1C	The Roles of Human Resources Managers and Line Managers	Introduces the reader to some distinct and professional HRM roles. The key role of the line manager in HRM is also outlined.
1D	Service-wide HRM and Individual MDAs	Provides an overview of the distinct HRM roles and responsibilities of the service-wide function and individual MDAs.

### Section Two: HRM Frameworks

Subsection Title		Brief Description
2A	Human Resources Management Self-assessment Framework	Provides a template and scoring system based on the SPARC PSM SEAT, which can be used in the current status of HRM policies, systems and processes in state governments.
2B	HR Policy Principles and Policies	Focuses on high level policy principles and explains what the development process might look like.
2C	HR Structures	Guide to decision making and 'how to' guide for those

		considering establishing a professional HRM model.
<b>2D</b>	<b>HR Operational Procedures Reference Guide</b>	Reference book that provides guidance on specific HR procedures.
<b>2E</b>	<b>Workforce Planning</b>	Introduction to the establishment and workforce planning process.
<b>2F</b>	<b>Capacity Building and Human Resources Development Policy</b>	Basic introduction to capacity building and some key considerations for developing a Human Resources Development Policy.
<b>2G</b>	<b>Building Readiness and Managing HRM Reform</b>	Outline of example steps to build readiness for HR transformation and tips on managing the change process.
<b>2H</b>	<b>Ethical HRM: Questions and Case Studies</b>	Provides some guidance and sample case studies to stimulate discussion on the ethical dilemmas that confront public service HRM practitioners.

### Section Three: HR Practitioner Tools

	Subsection Title	Brief Description
<b>3A</b>	<b>HR Glossary</b>	Alphabetised glossary for quick reference.
<b>3B</b>	<b>Guide to Personnel Record Keeping</b>	Provides guidance on the contents of, compilation of and maintenance of personnel records.
<b>3C</b>	<b>HR Database Part 1: Instructions</b>	Template for basic personnel records to allow for more strategic HR activities and planning to be undertaken.
<b>3D</b>	<b>HR Database Part 2: Template</b>	
<b>3E</b>	<b>Job Evaluation/Job Classification</b>	Step-by-step guide to job evaluation and classification with some relevant tools.
<b>3F</b>	<b>Recruitment Plan: Part 1 Instructions</b>	A recruitment plan that can be used to track the status of recruitment exercises, monitor progress and record decisions.
<b>3G</b>	<b>Recruitment Plan Part 2: Template</b>	
<b>3H</b>	<b>Structured Interview Guidance and Sample Questions</b>	Guidance on structured interviews and sample questions.
<b>3I</b>	<b>Candidate Selection Summary Score Sheet</b>	Example selection summary score sheets and structured interview questions.
<b>3J</b>	<b>Recruitment Summary and Appointment Requisition</b>	Used to confirm that the proposed candidate has the right skills and experience to fill the vacancy available and to demonstrate evidence of due process.
<b>3K</b>	<b>Induction Checklist</b>	Structured checklist of key induction activities to be carried out by the HR officer, line manager and new joiner in their first few months.
<b>3L</b>	<b>Deployment Template</b>	Deployment template to facilitate the strategic movement of officers within and across the Service.
<b>3M</b>	<b>Succession Planning Guidance and Templates</b>	Guide to succession planning, including a series of relevant templates.
<b>3N</b>	<b>Training and Development Guidance</b>	Provides guidance and tips on training needs analysis, design, delivery and evaluation
<b>3O</b>	<b>Performance</b>	Step-by-step guide to performance planning and

	<b>Management</b>	performance management.
<b>3P</b>	<b>Promotion and Advancement</b>	A checklist outlining policy and decision-making steps.
<b>3Q</b>	<b>Absence Tracker Part 1: Instructions</b>	An absence tracker with detailed instructions for monitoring sickness and annual leave.
<b>3R</b>	<b>Absence Tracker Part 2: Template</b>	Template and guidance on using exit interviews for departing officers.
<b>3S</b>	<b>Exit Interview Questionnaire</b>	
<b>3T</b>	<b>Gender and Social Inclusion</b>	National Gender Equality Policy requirements. Gender and social inclusion self-assessment checklist and guidance on data disaggregation.

## Section Four: HRM Training Resources

<b>HR Training 4A Introduction to introductory HR best practice PowerPoint presentation materials for sensitisation purposes</b>	<b>PowerPoint presentations</b>	
	<b>4B</b>	Overview of Key HRM Topics
	<b>4C</b>	Introduction to Professional HRM
	<b>4D</b>	Delivering Value Through HR – From Personnel to Professional HRM
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	<b>4J</b>	Reward Management – Driving Performance
	<b>4K</b>	Employee Relations
	<b>4L</b>	Staff Welfare

# SPARC HRM 2013

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## HRM Concepts

**1A:**

**What is Human Resources  
Management?**

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## What is Human Resources Management?

This document is intended to provide a brief overview of, and introduction to, human resources management (HRM) concepts.

### Human Resources and the 'Contract of Employment'

Human resources (HR) are the most important asset possessed by an organisation – its people. Without them, services cannot be delivered and organisations will not function. For that reason it is imperative that organisations understand the basic concepts of HRM in order to gain a competitive edge and to better manage their people.

HRM is concerned with managing the critical employer and employee relationship. For effective engagement of people in achieving the objectives of the organisation, the expectations of both employers and employees need to be managed. In reality, the 'contract of employment' is concerned with much more than pay and conditions of service, and includes:

What the Employer Expects	What the Employee Expects
<ul style="list-style-type: none"><li>• Performance</li><li>• Results</li><li>• Loyalty</li><li>• Integrity</li><li>• Service delivery</li></ul>	<ul style="list-style-type: none"><li>• Fair pay</li><li>• Career growth</li><li>• Promotion</li><li>• Job satisfaction</li><li>• Recognition</li><li>• Fair treatment</li><li>• Participation</li><li>• Training</li><li>• Security</li></ul>

If either party feels the other is not delivering what is expected, then the relationship will not be effective and service delivery and performance will suffer.

### Concept of Human Resources Management

HRM is the process of managing people in organisations in a structured and comprehensive manner. It covers all HR functions from entry to exit, e.g. recruiting, screening, interviewing, training, appraising, disciplining, rewarding, and developing the employee. In addition, many HRM decisions have possible legal or regulatory ramifications.

HRM is concerned with achieving integration of the strategic goals of the organisation and those of the individuals. As such it is not something that can be separated from the basic managerial function – it is a major component of the managerial function. And so it is important that all managers have an understanding of the key concepts of HRM.

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# Building Blocks of Human Resources Management

The table below provides an overview of the elements which make up the HRM function in public service organisations.

<b>Policies and Organisation</b>	• HRM laws and rules for state public servants
	• HRM policies governing terms and conditions of service and the contract of employment between the public servant and the state
	• Professional central human resources management
	• Human resources records and statistics for management of public servants' employment
<b>Establishment and Workforce Planning and Management</b>	• Establishment planning, job design and grading
	• Workforce planning
	• HR recruitment, posting, promotion and career guidance
<b>Performance Management and Workforce Development</b>	• Employee performance management system
	• Workforce development policies to ensure that public servants have the necessary skills and capacity to carry out their duties
	• Workforce development management systems
<b>Employer and Employee Responsibilities and Relations</b>	• A code of ethics or code of conduct to govern public servants' behaviour
	• A grievance procedure to provide public servants with a channel to express legitimate complaints
	• Welfare services are available to support public servants
<b>Pay and Pensions</b>	• Pay and allowances
	• Payroll
	• Pensions

Each of these is described in more detail below.

## Policies and Organisation

Public service HRM policies do not exist in a vacuum and must take account of the national legal framework as well as state-specific rules and directives that impact on the management of people in the workplace.

Within this regulatory framework it is then possible to develop a series of HRM policies governing the terms and conditions of service and the contract of employment between the public servant and the state.

State governments need to determine the HRM model they wish to adopt, including the extent to which they wish to move towards best practice. For example, one of the cornerstone changes to the public service internationally over the last 20 years has been a move towards decentralisation, that is, delegating decision making and responsibilities to those on the 'front line'. This puts the responsibility and decisions where they matter and the budget and accountability along with them. From an HR perspective, functional and operational aspects of people management remain a specialised central function, but decision-making moves to individual ministries, departments and agencies (MDAs). However, this is a long term goal of a mature professional HRM model and is not something that would take place without consistently demonstrated improvements in performance and a strengthening of accountability.

Finally, it should be noted that the successful implementation of all or any of the above is likely to be significantly compromised unless reliable HR records and statistics are made available to guide decision making and strategic planning. Without accurate and reliable data maintenance and reporting, compliance and target setting is nearly impossible.

## **Establishment and Workforce Planning and Management**

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Establishment planning, job design and grading enable the staffing needs of an organisation to be identified, specifically the required posts, jobs and skills. This is a prerequisite for all recruitment activities.

Workforce planning is the means by which the organisation's human resources can be strategically developed to meet future performance requirements. It guides recruitment, career development and deployment decisions. It ensures the right people are in the right job, with the right skills, at the right time. Workforce planning is the formal process used to identify the workforce required to deliver governments' strategies and mandates. It identifies the gaps between staff supply and demand and allows MDAs to plan the best ways to acquire, develop and maintain the talent and skills needed to deliver strategic goals.

Effective HR recruitment, posting, promotion and career guidance should all stem from the Establishment and Workforce Plans.

## **Performance Management and Workforce Development**

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Fully realised, performance management is a holistic process bringing together all of the elements that enable people to achieve individual and organisational objectives. Performance management is concerned with setting objectives, providing civil servants with the knowledge, skills and resources to deliver the objectives, and measuring performance through appraisal. HR performance management therefore integrates aspects of

organisational objective-setting, training and capacity building, and appraisal, as well as systems of incentives and discipline.

Performance management requires high quality human resource information systems to track and link all of these aspects of performance.

## Employer and Employee Responsibilities and Relations

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A code of ethics is a valuable tool in defining the behavioural standards expected of all public servants. However, without skilled HR practitioners who can reinforce those behaviours through coaching, monitoring and development of officers at all levels it is unlikely such aspirations will be realised.

A grievance policy and procedure allows officers to raise issues to their superior officers that fall outside the normal decision-making appeals process, e.g. harassment, victimisation, bullying, or discrimination. (As such, grievances are about improper behaviour and/or treatment, while appeals are about specific, unfair employment-related decisions.)

The introduction of welfare services to support public servants is vital in ensuring good employee relations. Nevertheless, it should be noted that the concept of 'welfare' should extend beyond monetary allowances and pay. This will also include enhanced employment protection, leave entitlement and other implied benefits of employment such as fair treatment, safe working environment, and reasonable workloads, etc.

## Pay and Pensions

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A fair pay and allowances structure seems obvious, but what is considered 'fair' may be very subjective, and expectations need to be carefully managed to avoid disappointment. Furthermore, in the public service, salary bands are not directly performance-linked, which fails to incentivise hardworking and strong performing officers. It may therefore lead to poor attitudes or low motivation. If this is the case then greater emphasis will need to be placed on other non-monetary forms of reward.

Payroll plays a major role in an organisation for several reasons. From an accounting perspective, payroll is crucial because payroll and payroll taxes considerably affect the net income of most organisations, and they are subject to laws and regulations. From an ethical viewpoint the Payroll Department is responsible for identifying and addressing payroll errors and irregularities. Similarly, good employee morale requires pay to be paid correctly and on time. However, the challenge for HR officers is that payroll cannot function effectively without up-to-date and reliable data pulled from the HR Management Information Systems (HR MIS). This places a great responsibility on HR officers to ensure proactive and sound maintenance of the data contained in these systems.

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Finally, pensions are an important component of retirement security and also need to be effectively and transparently administered. For many officers, pension and job security is a key motive for joining the public service in the first place and so this must be carefully managed and the relevant rules and regulations explicitly stated.

# SPARC HRM 2013

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## HRM Concepts

**1B:**

Human Resources  
Management  
or  
Personnel Administration?

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## **Human Resources Management or Personnel Administration?**

Professional human resources management (HRM) is concerned with all aspects of how people are employed and managed in organisations. It covers activities such as strategic HRM, human capital management, knowledge management, social responsibility, organisational development, resourcing (workforce planning, recruitment, and selection and talent management), learning and development, performance and reward management, employee relations, employee wellbeing and the provision of employee services.

Professional HRM is usually concerned with supporting the organisation in achieving its objectives by developing and implementing human resources (HR) strategies that are:

- Integrated with the strategic goals of the organisation
- Contributing to the development of a high performance culture
- Ensuring that the organisation has the talented and engaged people it needs
- Creating a positive employment relationship between management and employees and a climate of mutual trust, and
- Encouraging the application of an ethical approach to people management.

In contrast, personnel administration is an administrative transaction and record-keeping function that aims to establish and maintain equitable terms and conditions of employment.

### **People Not Paper:**

- By design, administrative officers are good 'all-rounders', but the roles they play, and the structures in which they work do not allow for the development of the technical HR skills needed to address the fundamental 'people problems' prevalent in the organisation
- In contrast, the HRM professional is trained to proactively identify and nip in the bud minor problems that, left unchecked, can develop into formal issues, e.g. absenteeism, lack of motivation at work, poor work ethic, etc.
- Administrative models often assume a 'one size fits all' approach to people management, with little autonomy given to individual ministries, departments and agencies (MDAs), departments and units
- A professional HRM model acknowledges that the HR issues and needs, and therefore solutions, may be MDA specific, and sometimes department specific, and that professional HRM officers in individual MDAs have a key role to play in tackling these.

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# Evolution of the Concept of Professional HRM

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## End of the 19th century

- Use of the term 'personnel' began
- This is when welfare officers (sometimes called 'welfare secretaries') came into being
- Their creation was a reaction to a number of factors:
  - harsh industrial conditions
  - growing influence of trade unions and the labour movement
  - campaigning of enlightened employers for what was called 'industrial betterment'
- As the personnel role grew there was increasing acknowledgement that these officers had a key and evolving role to play in balancing the protection of **employee** rights with the **employer** need for higher output.

## Around the mid 1980s

- The term 'HRM' arrived from the USA
- This started to suggest that employees were an asset or key resource in their own right
- It also placed emphasis on employee commitment and motivation.

## In 1990s

- The term 'personnel' was used less and less
- Increased use of the term 'HRM' to describe the changing way people were thinking about HR
- Emergence of the concept of 'Human Capital', which describes the value of people at work, i.e., their collective knowledge, skills, abilities and capacity to develop.

## Professional HRM Today

- Today's HR professionals encompass a number of specialist disciplines, e.g. diversity, reward (including compensation, benefits, pensions), recruitment and resourcing, employee relations, organisational development/design, and learning and development
- Crucially, however, professional HRM adds the greatest sustained value to the organisations it operates in, both now and in the future
- It combines the highest standards of professional competence with the closest alignment to organisational goals, to deliver sustained performance
- It is a practitioner model that focuses on skills, behaviour and expert knowledge.



## Growth of Professional HRM in the Public Sector

- There is a growing international and regional trend for those in the public service to look to be more effective, e.g. in Botswana, Tanzania and Ghana
- This has forced governments to consider new management practices, with a greater emphasis on achieving efficiency, effectiveness and economy
- Policymakers are often overly optimistic in their expectation that once plans for reform have been devised, the process of implementation will be straightforward
- Not only does strong people management increase the chances of successful reform implementation, but professional HRM also responds directly to the need for governments to become more focused on performance and accountability
- A strategic approach to HR and the active and proactive management of people is therefore essential.

## Differences Between the Approaches

Administration (Personnel Duties)	Professional HRM
<ul style="list-style-type: none"> <li>• Administrative experts</li> <li>• Generalist skills (all-rounders)</li> <li>• Management based on terms and conditions of employment contract</li> <li>• Support service</li> <li>• Directive driven</li> <li>• 'Siloed' HR functions</li> <li>• 'This is what we've always done'</li> <li>• Service-wide HR only</li> </ul>	<ul style="list-style-type: none"> <li>• People practitioners</li> <li>• Specialist skills (HR experts)</li> <li>• Management of skills, abilities, knowledge, talents</li> <li>• Strategic partners</li> <li>• Proactive and long term</li> <li>• Joined up HR functions</li> <li>• Change agents</li> <li>• Service wide HR and tailored MDA/department specific solutions</li> </ul>

HR issues differ in each MDA, in each department and even in each unit, so only through dialogue with Heads of Department and Heads of Unit can HR issues be proactively identified and addressed, using tailored in-house HR solutions. For example, a letter is often merely a symptom of a wider HR issue – it does not address the underlying root cause or actively manage the expectations of the individual concerned.

The HR officer therefore has a key role to play in balancing the interests of management with the interests of individual officers, with an emphasis on coaching/counselling. Trust and confidentiality are also critically important.

# Some Benefits of Professional HRM

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## People Management

- Concept of meritocracy will be reinforced
- MDAs will acquire, develop and retain higher performing officers
- HRM officers will be able to provide professional, specialist advice on particular areas
- Greater accountability and stronger people management
- Professional HR strategists and HR managers are the primary resources for operational managers for all people problems and solutions
- HR officers will work closely with the heads of department to support MDA and department specific objectives, in particular designing and implementing HR solutions that support their strategic aims
- HR officers will ensure the people strategy of the MDA is consistent with what each department is trying to achieve, and implement appropriate tailored HR solutions
- MDAs will build stronger people capability
- HR officers will support longer term human resource and talent management planning
- There will be tailored capacity-building interventions within individual MDAs
- Each MDA will be better able to anticipate the future needs of state government and its component parts.

## Budget/MTSS

- Budget and medium term sector strategies (MTSS) do not exist in a vacuum
- They require that the mandates of each MDA are clearly defined, and strategic HRM professionals give input into this
- HRM professionals then ensure the MDAs actually deliver their mandates by ensuring the right people, with the right skills, are in place, with the right motivation, at the right time
- Without these key HR and corporate planning linkages, the right information will not feed into the MTSS and budget process, and MDAs will not be able to deliver
- Professional HRM will make sure the size and shape of the service is congruent with a government's strategic priorities, and is affordable.

## Value for Money

- In many parts of the country there is a general trend for revenue to be dwindling, while expenditure is escalating
- Total personnel costs appear to be increasing unchecked year on year, making up a large percentage of total recurrent expenditure
- Such expenditure may prevent much-needed capital expenditure
- The civil service may therefore become increasingly bloated, yet there are few returns and little improvement in MDA performance and service delivery
- This would be symptomatic of a lack of workforce planning and a recruitment process that is not strategic, and hence the need for professional HRM officers who can address these issues.

## Service Delivery

- Staff will be better able to respond to civil service needs, and more motivated to do so
- With active support of the political leadership for the civil service, HRM can contribute to translating the vision of government into reality
- MDAs will have clearer accountability and civil servant performance management. There will be a link between people management and the strategic objectives of the state government (or organisation)
- Professional HRM will show how new strategies set by government can actually be achieved
- Staff will respond better to the needs of the state and be more motivated to do so.

# SPARC HRM 2013

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## HRM Concepts

**1C:**

**The Roles of  
Human Resources Managers  
and  
Line Managers**

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## **The Roles of Human Resources Managers and Line Managers**

### **Concept of Professional HRM – A New Management Approach**

Professional human resources management (HRM) is both a strategic and operational function that ensures that an organisation's 'people plan' meets current requirements, and that the organisation is able to identify, plan for and meet future organisational staffing and capability needs.

Increasingly, the concept of HRM is shifting its focus from supporting individuals and groups in organisations, to providing advice and data to senior leaders on the costs, capability and capacity of the workforce to deliver the organisation's objectives. This leads to more effective people management.

But who is responsible for this, and how can it be achieved?

### **HRM and HRD**

HRM anticipates and manages the flows of staff in, up, through and out of the organisation, including human resources (HR) policies and processes which regulate employer and employee behaviour (such as legal compliance, ethical practices, meritocratic decision making, job performance, and terms and conditions of service).

Human resources development (HRD) is a subset of HRM, concerned with ensuring that staff are properly trained to fulfil their work responsibilities and realise their potential.

### **Role of the HR Officer in Managing People in Individual MDAs**

Professional HR officers have an important and strategic role to play, but how should they be organised and what might their distinct roles and responsibilities be? While the service-wide ministries, departments and agencies (MDAs), especially the Office of the Head of Service play a key role in defining common HR services in public service organisations, the responsibility for delivering these services lies with the individual MDA. Similarly there are often specific 'people needs' found within individual MDAs, and even individual departments, which cannot be addressed solely through a generic or service-wide approach to HRM.

Where a state has only a service-wide 'one size fits all' approach to HRM, individual MDAs will be unable to take responsibility for identifying and addressing their own people problems. This is not about replacing the important role of service-wide HRM; instead it is about adding to and complementing this framework. It is only through strong relationship management and close collaboration between professional HR officers and line managers in individual MDAs that such a model can function successfully.

*(Refer to the 'Service-wide and Individual MDAs' document in this Resource Suite series for further guidance on how the important, but distinct, people management roles of the service-wide and individual MDAs are reinforced through a professional HRM approach.)*

### **Role of the Line Manager in Managing People in Individual MDAs**

The management of people in any organisation is not solely an HR officer responsibility. Proactive people management requires close collaboration and ongoing dialogue with line managers who are on the 'front line', practically dealing with day-to-day HR issues and challenges as part of delivering the services for which the MDA is responsible.

### **Getting Started – Best Practice HR Roles in Individual MDAs**

There are a number of different ways an individual state government service, sector or individual MDA might choose to organise its staff in order to effectively deliver HR services, but some fundamental and distinct HRM roles are outlined below.

*(Refer to the 'HR Structures' document in this Resource Suite for further guidance on how to develop a formal HRM Roles and Responsibilities Matrix which clearly delineates the separate HRM responsibilities of service-wide and individual MDAs.)*

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## Generic HRM Roles

The table below provides a high level overview of the distinct HRM roles which are necessary in any public service organisation. Each is then described in more detail below.

ROLE	DESCRIPTION
HR Strategist	<ul style="list-style-type: none"> <li>Aligning HRM with MDA and government strategy</li> <li>Ensuring service standards and delivery</li> <li>Strategic people planning and policy</li> <li>Proactive management of long term change</li> </ul>
HR Manager	<ul style="list-style-type: none"> <li>Working with specific teams/departments to develop personalised HR solutions for individual groups</li> <li>People management</li> <li>Employee champion</li> </ul>
HR Personnel	<ul style="list-style-type: none"> <li>Personnel administration</li> <li>Functional services</li> <li>Operational services focused on compliance with rules</li> <li>Service-wide processes</li> <li>Short term/day-to-day activities</li> </ul>

### HR Strategists (Senior Professionals)

- HR strategists guide and manage the overall provision of HRM services service-wide, sector-wide or for an entire MDA
- They advise on HR strategies and service-wide, sector-wide, or MDA-specific HR policies and ensure that all HR functions are operating to an agreed standard
- They originate and lead HR practices that provide an employee-oriented, high-performance culture that emphasises empowerment, quality, productivity and standards, goal attainment, and the recruitment and ongoing development of a superior workforce
- They are responsible for capacity building.

### HR Managers (Mid-level Professionals)

- The HR manager is the acknowledged 'go to' person for specific HR issues
- They have intimate knowledge of all officers in each team, unit or department
- They proactively seek to identify HR issues and work to develop tailored HR solutions to ensure each team, unit or department can achieve their specific goals
- They are responsible for ensuring individual officers have the necessary knowledge/skills required for optimal performance.

### HR Personnel (Technical Administrators)

- HR personnel help with the administration of all day-to-day operations of the HR Department and assist the HR managers and strategists with their duties as directed.



# The Role of the HR Strategist

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HR strategists originate and lead HR practices and objectives that will provide an employee-oriented, high-performance culture that emphasises empowerment, quality, productivity and standards, goal attainment, and the recruitment and ongoing development of a superior workforce.

They coordinate the implementation of services, policies, and programmes through HR managers; directly assisting the Head of HRM (the Head of Service or the top MDA manager to whom this responsibility is delegated) and advising senior managers about HR issues.

## Principal accountabilities:

- Member of the senior management leadership team; formulating strategies, policies, plans, budgets and monitoring performance to ensure the mandate and goals are achieved
- Advise the Head of HRM, senior managers and colleagues on the HRM and employee relations policies required by the service, sector or MDA, in all areas of people management and to uphold core values
- Formulate HRM strategies that are fully integrated with the service, sector or MDA strategy and are coherent across all aspects of people and performance management
- Develop plans to implement the strategies and ensure the right number of people with the right skills and competence are available to the service, sector or MDA to enable it to meet its goals
- Advise on the development of organisational structures and processes and on the management of change to maximise organisational effectiveness
- Plan and direct employee development, performance management and career management processes and programmes to improve individual and organisational effectiveness and to give employees the best opportunities to develop their careers
- Advise on employee relations and communication strategies and policies
- Direct and control the operations of the HRM function to ensure it provides professional and cost-effective people management support to the service, sector or MDA
- Ensure, through advice and monitoring, that HR policies are implemented consistently and that the core values of the service are upheld (including those concerned with fairness, equal opportunity and the management of diversity)
- Keep up to date with developments in HRM, using benchmarking and other means to introduce innovation
- Advise on pay and remuneration within the powers delegated, and in relation to the service, sector or MDA staff recruitment and retention needs

- Engage in dialogue at service, sector and MDA levels on broader HRM policies, impact on the service and changes to be considered.

## The Role of the HR Manager

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To provide advice and cost effective HR services which enable the MDA to achieve its goals and its responsibilities to the people it employs.

### Key Result Areas:

- Advise on HR strategies, policies and practices which support the MDA's achievement of its objectives and meet its responsibilities to the people it employs
- Prepare demand and supply forecasts of people requirements in terms of numbers, skills, competences, and plan for the recruitment and selection of employees to meet MDA requirements
- Provide a recruitment and selection service to the MDA
- Provide advice on legal and other employment obligations e.g. health and safety; employment code
- Develop and help maintain performance management processes which are owned by managers and employees and make a significant contribution to employee motivation, performance and development
- Plan and implement human resources development programmes to meet identified training and learning needs and satisfy the MDA's requirements for an effective and skilled work force
- Advise, within the powers delegated, on pay and rewards and the operation of the pay structure and performance pay schemes
- Advise on employee relations issues and coordinate MDA communication to maintain a cooperative working climate
- Develop and maintain an effective (computerised) HR Management Information System (HRMIS).

### Performance Standards:

The HR Manager's performance will be up to standard when:

- A proactive approach is consistently adopted in making proposals to managers on the development of policies and practices that will impact on the MDA and add value
- Realistic plans are made to anticipate future employee requirements which avoid skills shortages or unmanageable employee surpluses
- Systematic recruitment and selection procedures are maintained which provide wholly acceptable service to managers. An acceptable service is one that includes:
  - prompt responses to requests for advice

- delivery of accurate job descriptions, person specifications, draft advertisements and media plans
- use of tests (psychometric or exams) which have been properly evaluated, are administered by trained staff and provide valuable insights into the recruitment process
- delivery of a shortlist of candidates by an agreed deadline.
- Helpful advice is given on employment which is based on a thorough understanding of the laws and regulations, policies and procedures
- All managers and staff have been briefed and trained to use the performance appraisal process properly
- Employee development programmes are based on systematic analysis of needs and meet success criteria established by the training programmes course evaluation
- Reward management policies and practices are transparent, competitive and equitable
- A good employee climate is maintained and staff attitudes are measured regularly in staff surveys and the occurrence of disputes and grievances
- HRMIS is used to maintain accurate records and to generate information as a basis for decision making on key HR issues.

## The Role of HR Personnel

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The main function of HR personnel is to provide administrative personnel services for all officers, assisting the HR managers with service delivery.

Example tasks might include:

- Providing advice and services on basic HR issues, as directed
- Organising induction programmes in conjunction with the HR Manager
- Collecting data, analysing jobs and preparing job descriptions for evaluation purposes
- Preparing draft documentation for employee relations cases, such as grievance and disciplinary matters
- Providing administrative support to committees, working groups, etc.
- Ensuring that all HR data is input to the HRMIS
- Keeping other trackers and records up to date
- Analysing data and preparing specific HR reports as necessary.

# The Role of Line Managers

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## What Do We Mean by Line Managers?

As every HR professional knows, their ability to deliver and implement successful HR policies, procedures, interventions and to solve employment issues is often only as effective as the line manager directly responsible for managing the work of civil servants to deliver the MDA's services.

Line managers are those managers to whom individual employees or teams directly report and who have responsibility to a higher level of management for those employees or teams.

The term 'front-line managers' is rather more specific and normally refers to line managers in the lower layers of the management hierarchy – that is, where the employees who report to them do not themselves have any managerial or supervisory responsibility.

Typically the management responsibilities carried out by line managers (particularly front-line managers) might include:

- Day-to-day people management
- Managing operational budgets and costs
- Providing technical expertise
- Organisation of work processes, methods and allocation of tasks
- Monitoring work processes
- Checking quality of output
- Dealing with external and internal service users
- Measuring operational performance.

Line managers also carry out a number of activities that would traditionally be seen as part of the HRM remit, such as providing coaching and guidance, undertaking performance appraisals and dealing with discipline and grievances. They also often carry out tasks such as recruitment and selection, or pastoral care, in conjunction with HRM.

## **Key People Management Responsibilities**

Globally, the relationship between the HRM function and line managers has been subject to a number of changes in recent years. In many countries the focus of responsibility for some core HRM activities, such as recruitment or objective-setting, has shifted from HR managers to line managers.

Line managers can have a crucial impact on performance where they act as the interface between the organisation and its workforce. It is therefore especially important to pay close attention to how the organisation selects, develops and manages the performance of line managers to ensure they maximise their potential to be effective leaders.

Overall, the areas where line managers make a significant difference to people management practices include:

- Performance appraisal
- Training, coaching and guidance
- Employee engagement (including involvement and communication)
- Openness – how easy is it for employees to discuss matters with their line manager
- Employees' welfare and work–life balance
- Recognition – the extent to which employees feel their contribution is recognised
- Communication – particularly encouraging or reinforcing alignment with business goals or core values.

These are all areas where, although the processes may be designed by HRM, they cannot be delivered by HR managers directly. The line manager role is therefore crucial in a number of respects to:

- Enabling the HR policies and practices, or bringing them to life
- Acting upon advice or guidance from HRM
- Controlling the work flow by directing and guiding the work of others.

# SPARC HRM 2013

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## HRM Concepts

**1D:**

**Service-wide HRM and  
Individual MDAs:**

**The Professional HRM Model  
of Shared Services**

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## **Service-wide HRM and Individual MDAs**

The purpose of this document is to explain how the service-wide human resources management (HRM) function and individual ministries, departments and agencies (MDAs) can play distinct but complementary roles within the modern professional HRM model.

Under this approach, the high-level service-wide MDAs are tasked with providing 'shared services', i.e. human resources (HR) services that are provided to all MDAs in the civil service of a state. The main benefit of shared services are:

- Better use of highly qualified HR specialists to provide strategic direction and advice across the HRM function as a whole
- Increased efficiency of routine or common HR processes
- Improved MDA responsibility and accountability for aspects of people management which impact directly on service delivery and require tailored local solutions.

However, to obtain the benefits of this shared services approach, there must be robust definitions of the roles and responsibilities of the service-wide and MDA HR managers, and clearly defined processes and performance standards for each.

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## Service-wide MDAs as 'Shared Service Centres'

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Under a shared-services HRM model the service-wide HRM function (usually within or under the Office of the Head of Service) would act as a shared service centre. This can facilitate better organised and more efficient personnel administration, as well as additional important strategic HRM responsibilities.

*(Refer to the 'The Roles of Human Resources Managers and Line Managers' document in this Resource Suite series for further guidance on strategic HRM.)*

The shared service centre would normally provide those HR services that are required across the civil service, such as:

- Ownership and enforcement of all HR policies
- Approval of HR decisions taken by individual MDAs to enhance ownership of decision making
- Administration of HR processes, supported by HR personnel staff in individual MDAs
- Delivery of specialised guidance, consultancy and advisory support to HR officers within individual MDAs.

The benefits realised by the use of shared HR service centres include the following:

- **Reducing costs and avoiding duplication of effort** – the benefits from economies of scale and elimination of duplicated effort can streamline and simplify services to reduce costs. There is also the potential to exploit common buying power from shared services, for example, training and development providers
- **Improving quality of service to MDAs** – the use of more efficient processes can deliver greater consistency, and more timely and accurate information and advice to individual MDAs
- **Shared best practice** – communicated by shared services through customised activities and lessons learned and witnessed at individual MDA level. This may include sharing best practice and HR processes, pooling knowledge about what works across different sectors and MDAs
- **Greater flexibility with more appropriate accountability** – greater accountability for individual MDAs who will have flexibility to carry out more customised HR activities with shared service centre support.

# Individual MDAs and 'Strategic Partnering'

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## What is HR Strategic Partnering?

Under the shared services HR model, professional HR officers in individual MDAs would play a 'strategic partner' role by demonstrating their ability to translate government's strategic goals into meaningful MDA-specific HR strategies and action, in accordance with service-wide HR policies, strategies and processes. Within this framework they will be able to identify and address MDA- or even department-specific HR issues and needs.

To be successful as an HR strategic partner, the HR officer in an individual MDA will need to acquire the knowledge and skills necessary to link HR activity to MDA value, and to identify and meet the needs of their MDA, departments, units and ultimately the needs of all the MDA staff.

In order to achieve this he/she will need to be able to demonstrate the following skills:

- Strategic thinker
- Consultancy skills
- Customer relationship management
- Networking
- Value for money and resource awareness
- Change management
- Influencing skills
- Political awareness
- Personal development
- Employee engagement
- Results-orientation.

## How Might This Work in Practice?

HR strategic partners link government, MDA and HR strategy. As such an HR strategic partner would be the Permanent Secretary and Heads of Department 'go to' for all people problems and solutions.

Some examples of how an HR strategic partner might better identify and address tailored day-to-day HR needs in individual MDAs are outlined below:

### 1. Transactional to Transformational

An HR strategic partner is able to transfer their focus from routine personnel administrative transactions to value-added, large-scale interventions within their MDA. They have the ability to implement new initiatives and adapt processes to suit different circumstances. The status quo is challenged and they react positively to change and are creative and innovative in their thinking and application.

For example:

- HR officers are currently providing support for heads of departments and managers on absence issues on an individual basis
- The transactional behaviour demonstrated by an **HR personnel officer** might treat the symptoms rather than the cause of absence related issues, i.e. does the officer need to be disciplined? Yes/No
- The transformational intervention demonstrated by the **HR strategic partner** would be to analyse the root cause of the problem within a department or unit, which may require a number of different interventions through taking a holistic approach.

### 2. Service to Consultancy

HR strategic partners empower heads of department to address their own problems through support and guidance, enabling them to generate and consider their own options and solutions. They support the heads of department in reaching their own decisions. Heads of department are therefore more likely to feel they have made the right decisions and follow through accordingly.

For example:

- A Head of Department who is known to the HR officer telephones to ask for the appraisal reports for his/her direct reports for the last 3 years. The service approach of the **HR personnel officer** might be to deal with the request and supply the information
- The **HR strategic partner** approach might be to arrange a time to see the Head of Department to supply him/her with the information and to understand what he/she is trying to achieve. Furthermore this would be an opportunity to provide additional support to the Head of Department in a more effective application of the Annual Performance Evaluation Report (APER) and performance management of his/her team.

### 3. Reactive to Proactive

The HR strategic partner can anticipate future MDA needs through appropriate interventions. He/she continually uses analytical thinking/techniques to define problems and identify solutions. He/she does not wait to be asked before exploring a new situation and exhibits behaviours that enable prevention of problems beforehand rather than having to provide solutions after the event. He/she remains in control of the agenda by getting to the root of any problems in advance.

For example:

- An HR officer is deployed to an MDA where the turnover is high and officers continuously want to be redeployed elsewhere
- The reactive **HR personnel officer** might continue to recruit and redeploy officers rather than review procedures
- The proactive **HR strategic partner** might initiate a project to review selection procedures and recommend 'exit' interviews to get to the root cause of turnover rather than continuing to fill the gaps that remain.

#### 4. Strategic in Practice and Thinking

The HR strategic partner considers HR as a strategic function in its own right. In addition to providing services, he/she considers the balance to the MDA of cost and benefit. He/she demonstrates the ability to challenge the rationale and reason behind any request for HR support, enabling the wider picture to be considered along with the long term goals of both HR and the MDA, creating a win-win situation.

For example:

- An HR officer has been asked to lead a project to review how HR service is delivered in a particular department. The project is expected to deliver cost savings
- The non-commercial **HR personnel officer** approach might take an inward-looking, 'quick hit' approach by reviewing process and identifying areas to cut out costs or headcount
- The commercial **HR strategic partner** approach would establish objectives and terms of reference, take a more holistic view to change, reviewing HR 'customers' experience (e.g. Heads of Department, Permanent Secretary, etc.), current service levels, deployment of resource and skills and their overall impact, etc.

#### 5. Working with Empowered and Capable Heads of Department

HR strategic partners demonstrate trust in heads of department and managers by letting go of a directive relationship. They accept the relationship with the heads of department may have to deal in the short term with some difficult or uncomfortable situations; however they maintain and promote options for the long term to help managers develop their people management skills.

For example:

- A Head of Department requires one-to-one guidance on an informal discipline issue and requires the HR officer's help to resolve this
- The **HR personnel officer** might be directive in respect of advice and guidance and 'hand hold' the Head of Department through a formal disciplinary procedure
- Working in an empowered environment, the **HR strategic partner** might coach the manager and provide various options that will allow the Head of Department to resolve the discipline issue before it escalates, enabling him/her to be more self-sufficient in the future.

By adopting this transformational approach, the HR strategic partner is able to rise to the MDA's future challenges and demonstrate the capability required to operate within a changing environment. The role demonstrates the real value HR can bring through being strategically focused whilst also delivering transactional and administrative services in a cost effective way.

### **Benefits of Strategic Partnering**

Having HR strategic partners working within individual MDAs would therefore bring a number of benefits. For example:

- Embedded within each MDA, they fully understand the business of the organisation and know the majority of civil servants personally
- They work closely with heads of department to achieve MDA-specific objectives, in particular designing and implementing HR solutions that support their strategic aims
- They ensure the people strategy of the MDA is consistent with what each department is trying to achieve and implement appropriate tailored HR solutions
- They build stronger people capability and support longer term resource and talent management planning
- They offer tailored and early capacity building interventions.

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# SPARC HRM 2013

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## HRM Frameworks

**2A:**

**Human Resources Management  
Self-assessment Framework**

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## Human Resources Management Self-assessment Framework

This document provides a template for self-assessment of the current status and performance of the public service human resources management (HRM) arrangements.

### Structure of the Assessment Framework

This assessment framework is structured in three parts.

#### Part A

A set of definitions which explain many of the common terms and concepts used to describe public service HRM functions. These definitions are intended to provide a common language for discussing the performance of the public service.

*(Refer to the Glossary document in this Resource Suite series for further guidance on the definitions of HRM terms.)*

#### Part B

A set of self-assessment indicators and criteria which provide a framework for reviewing and assessing the current status and performance of HRM in the public service. These are organised into five **categories**, each reflecting a major aspect of public service HRM operations. Each category is further sub-divided into a number of **dimensions**, which focus on specific features of those operations. Finally, for each dimension, the framework describes a number of **indicators** and provides **scoring criteria** for each.

#### Part C

A blank template to facilitate recording the score attached to each characteristic and space to document the rationale behind the score allocated.

### Using the Assessment Framework

For each characteristic, scoring criteria are provided to guide participants in the self-assessment. For example, in the **category** 'HRM – Policies and Organisation' and the **dimension** 'Mandates and Responsibilities', the first **indicator** to be scored is:

'There are clear, comprehensive and up-to-date state HRM laws and regulations which govern public service employment, rights and obligations, etc. and which reflect relevant federal requirements (e.g. National Gender Policy).'

This indicator can be scored A, B, C, or D, as follows:

Score	Minimum requirements
A	<i>Apart from civil service rules and circulars, there are clear, comprehensive and up-to-date [HRM] laws, rules and regulations which govern public service employment, rights and obligations, etc. and which reflect relevant federal requirements</i>
B	<i>The state has added comprehensive laws and regulations to the civil service rules and circulars</i>
C	<i>The laws and regulations are as published in the state/federal civil service rules and circulars</i>
D	<i>There are no [HRM] laws, rules or regulations which govern public service employment, rights and obligations, etc.</i>

Once each indicator has been scored, an aggregate score can be determined for each dimension. **The process of scoring is merely a means to an end, not an end in itself.** The object of the exercise is to arrive at a common understanding of areas where the current position is satisfactory, and those where the state government may wish to prioritise improvement efforts.

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# Overview of the Public Service HRM Self-assessment Framework

Assessment categories	Assessment dimensions	Number of dimension indicators
A: HRM – Policies and Organisation	HRM laws and rules for state public servants	3
	HRM policies governing terms and conditions of service and the contract of employment between the public servant and the state	3
	Professional central HRM	2
	HR records and statistics for management of public servants' employment	6
	Establishment planning, job design and grading	5
B: HRM – Establishment and Workforce Planning and Management	Workforce planning	4
	HR recruitment, posting, promotion and career guidance	5
	Employee performance management system	5
	Workforce development policies to ensure that public servants have the necessary skills and capacity to carry out their duties	3
	Workforce development management systems	11
D: HRM – Employer and Employee Responsibilities and Relations	A code of ethics or code of conduct to govern the behaviour of public servants	2
	A grievance procedure to provide public servants with a channel to express legitimate complaints	4
	Welfare services are available to support public servants	3
E: HRM – Pay and Pensions	Pay and allowances	8
	Payroll	4
	Pensions	7

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## Part A: Definition of Terms

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### Accountability

Accountability is the requirement that officials answer to stakeholders for the execution of their powers and duties, act on criticisms or requirements made of them and accept (some) responsibility for failure, incompetence or deceit. Mechanisms for holding officials accountable can be inter-organisational, such as between branches of government; intra-organisational, such as between supervisors and subordinates; and extra-organisational, such as when an organisation and its functionaries answer directly to customers or stakeholders. Accountability mechanisms can address the issues of both who holds office and the nature of the decisions by those in office. Accountability requires freedom of information, stakeholders who are able to organise, transparency in decision making and the rule of law.

### Establishment Plan

The establishment plan is the number of persons or posts in a ministry, department or agency (MDA), etc., who make up a body for the purpose of administering something. It comprises a listing of posts that have been created for an MDA, etc. to enable that organisation to fulfil its mandate.

### Function

Function is the particular purpose or task of a public institution which has been assigned to it by a higher authority. It is also a duty specific to a particular post or a particular job. A functional review is a form of *efficiency and effectiveness review* which examines the functions and structures of state agencies or budget entities and asks whether the functions need to be done at all, whether other agencies or actors could do them more efficiently or effectively and what the consequences are for structure.

### Human Resources Management (HRM)

HRM is the laws, regulations, policies and practices related to people in organisations. It includes recruitment and selection, employment law and practice, human resources development and training. It covers the procedures for promotion, discipline, lodging a grievance, dismissal, redundancy and retirement and for establishing remuneration and reward, and pensions. HRM differs from personnel practice in that it is more strategic and not simply procedural.

### Human Resources Development (HRD)

Human resources development is a subset of HRM. It is a set of policies and processes for training and developing staff to meet the requirements of their current jobs and to underpin career development. HRD covers a broad spectrum of issues and includes induction, job-related knowledge, skills and attitudes, competency development, professional skills and qualifications, coaching, management, leadership and succession planning. It should always be planned and resourced to meet the requirements of the ministry or organisation and its impact regularly evaluated.

### **Job Analysis**

Job analysis involves examining the tasks and sequences of tasks necessary to perform a job. The analysis looks at the areas of knowledge and skills needed for the job. Note that a role is the set of responsibilities or expected results associated with a job. A job usually includes several roles.

### **Job Evaluation**

Job evaluation is a process to analyse and design a job based on the work activities, roles, quantitative and qualitative performance standards, behaviours and skills required.

### **Job Grades**

Job grades should be determined by an objective evaluation process which assesses the relative worth and size of job roles in the service together with the level of competency (technical knowledge, experience and skills) required.

### **Job Description**

The job description is a broad statement of the purpose, scope, duties, tasks, objectives, quality standards, knowledge, skills, competencies, roles and responsibilities of a job. Typically, it includes a statement of the position to which the job reports and it includes such specifications as the qualifications, experience, abilities and competencies needed by the person in the job. It also specifies the salary range for the position. A job description is usually developed by conducting a job analysis.

### **Mandate**

The mandate of an institutional remit –of an MDA – is its reason for being. It is a statement of specific responsibilities and accountabilities, often enshrined in legislation, the law and regulations.

The mandate is an official order or authorisation, usually written, given to a public organisation, person, etc. to act on behalf of others. It is a legal authorisation given to an organisation or an appointed official to act on behalf of other people. It is permission to govern according to declared policies and is considered to be given to a public organisation by a legislature, legal ruler or leader.

### **Ministries, Departments and Agencies (MDAs)**

This term is used as 'shorthand' for the variety of organisations which are found in the public service. Typically a ministry is responsible for the activities of a sector or major sub-sector of public service operations and is led by a Permanent Secretary. Extra-ministerial departments (note, not departments within a ministry) include non-ministry institutions such as the Office of The Head of Service (OHOS), the Auditor General and the Office of the Governor. 'Agencies' include a wide variety of public service organisations including agencies, parastatal agencies, boards, commissions and government-owned companies.

### **Performance Improvement**

Performance improvement is the concept of organisational change. This is a process by which the managers and governing body of an organisation put into place and manage a programme which measures the current level of performance of the organisation and then generates ideas for modifying organisational behaviour and infrastructure. The ideas are put into place in order to achieve a better level of output. The primary goals of organisational

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improvement are to improve organisational effectiveness and organisational efficiency and to enhance the ability of the organisation to deliver its goods and/or services.

#### Performance Management

Performance management is the process of setting organisational goals and objectives and of managing and monitoring them. Such a process ensures that public service entities know what standards they are expected to meet and how they measure up in terms of their overall effectiveness and efficiency.

Performance management is a system whereby each public servant is set performance objectives. They are assessed at least once a year against these performance objectives. The performance assessment is linked to agreed targets or service standards as a matter of policy and good practice. There needs to be a disciplinary system in place and operating effectively to manage poor performers.

#### Workforce Plan

The workforce plan is a systematic identification and analysis of what an organisation is going to need in terms of the number, type, and quality of workforce to achieve its objectives. It determines what mix of experience, knowledge and skills is required and sequences steps to get the right number of the right people in the right place at the right time. It is looking at what an organisation needs to accomplish in a given period of time; what knowledge, skills and experience are required to get the job done; how large and what type of workforce is required to provide that mix of skills, knowledge, and experience. It requires a procedure to plan the size and composition of the state's future workforce; data on skills, age profiles and succession needs; and clear diversity policy targets to ensure that the public service is representative of the population it is there to serve.

## Part B: Assessment Framework for HRM

### Category A: HRM – Policies and Organisation

#### Dimension 1: HRM Laws and Rules for State Public Servants

- i) There are clear, comprehensive and up-to-date state HRM laws and regulations which govern public service employment, rights, obligations, etc. and which reflect relevant federal requirements (e.g. National Gender Policy).

Score	Minimum requirements
A	In addition to civil service rules and circulars, there are clear, comprehensive and up-to-date [HRM] laws, rules and regulations which govern public service employment, rights, obligations, etc. and which reflect relevant federal requirements
B	The state has added comprehensive laws and regulations to the civil service rules and circulars
C	The laws and regulations are as published in the state/federal civil service rules and circulars
D	There are no [HRM] laws, rules or regulations which govern public service employment, rights, obligations, etc.

- ii) Laws, rules and regulations are published and accessible to all public servants and the public.

Score	Minimum requirements
A	Laws, rules and regulations are published and accessible
B	Most laws, rules and regulations are published, but are not as accessible as they could be
C	Few laws, rules and regulations are published or made accessible
D	Laws, rules and regulations are not published

- iii) HRM laws, rules and regulations are enforced, and effective sanctions imposed in cases of default.

Score	Minimum requirements
A	The laws, rules and regulations are enforced and effective sanctions imposed in cases of default
B	The laws and regulations are generally enforced and effective sanctions imposed in most cases of default
C	The laws and regulations are weakly enforced and effective sanctions are rarely imposed in cases of default
D	The laws and regulations are generally not complied with

#### Dimension 2: HRM Policies Governing Terms and Conditions of Service and the Contract of Employment Between the Public Servant and the State.

- i) There are clear, comprehensive and up-to-date HRM policies which cover general terms and conditions of employment.

Score	Minimum requirements
A	There are clear, comprehensive and up-to-date HRM policies which cover general terms and conditions of employment
B	There are comprehensive HRM policies which cover general terms and conditions of employment, but they have not been updated within the last 5 years
C	There are HRM policies which cover general terms and conditions of employment, but they are not comprehensive or up to date
D	There are no clear, comprehensive and up-to-date HRM policies which cover general terms and conditions of employment

ii) HRM policies, guidelines and rules are published and accessible.

Score	Minimum requirements
A	HRM policies, guidelines and rules are published and accessible to all
B	HRM policies, guidelines and rules are published, but not readily accessible
C	HRM policies, guidelines and rules were originally published, but few copies are now accessible
D	HRM policies, guidelines and rules are not published

iii) Induction is provided for all public servants to familiarise them with policies, guidelines and rules.

Score	Minimum requirements
A	Up-to-date and timely induction is provided for all public servants to familiarise them with policies, rules and guidelines
B	Induction is provided for most public servants to familiarise them with policies, rules and guidelines, but it is often provided several months after joining
C	Induction is provided for some public servants, but it does not adequately cover policies, rules and guidelines
D	There is no induction provided for public servants

### Dimension 3: Professional Central HRM

i) HRM functions (for example, training, performance management, workforce planning) are properly defined and allocated to appropriate structures (especially within the OHOS, Civil Service Commission, Local Government Service Commission [LGSC])

Score	Minimum requirements
A	HRM functions are properly defined in all sectors and tiers of government and allocated to appropriate structures (especially within the OHOS, Civil Service Commission, LGSC and other MDAs with responsibility for pan-public service HR functions)
B	HRM functions are properly defined and appropriately allocated in the OHOS, Civil Service Commission, Establishments and Pensions and LGSC, but generally not in MDAs
C	HRM functions could be more clearly defined and more appropriately allocated in the 'central' HR functions and in MDAs
D	There are no properly defined HRM functions in place in the state public service

ii) The HRM system is staffed by competent and appropriately qualified human resources (HR) managers.

Score	Minimum requirements
A	The HRM system is staffed by competent and appropriately qualified HR managers in the 'central' and MDA HR functions
B	Over 50% of HR posts are staffed by competent and appropriately qualified HR managers
C	Between 25 and 49% of HR posts are staffed by competent and appropriately qualified HR managers
D	Under 25% of HR posts are staffed by competent and appropriately qualified HR managers

#### Dimension 4: HR Records and Statistics for the Management of Public Servants' Employment.

- i) There is a comprehensive HR database with up-to-date and accurate Individual personnel records, including personal information, education, qualifications, experience and performance data.

Score	Minimum requirements
A	There is a comprehensive and computerised HR Database with up-to-date and validated individual personnel records including personal information, education, qualifications, experience and performance data covering 100% of staff
B	There is a comprehensive HR database with up-to-date and accurate individual personnel records including personal information, however the system lacks certain key information for HR planning and management
C	There is a fairly comprehensive HR database with individual personnel records, including personal information, but it does not cover all staff and includes invalid records
D	There is a basic HR staff list with individual personnel records, but this is not validated or up to date

- ii) Effective review and revision mechanisms exist to ensure the currency and accuracy of individual personnel records.

Score	Minimum requirements
A	Review and revision mechanisms exist and are applied systematically to ensure the currency and accuracy of individual personnel records in all MDAs, sectors and tiers of government
B	Effective review and revision mechanisms exist in 75-99% of MDAs to ensure the currency and accuracy of individual personnel records
C	Effective review and revision mechanisms exist in 50-74% of MDAs to ensure the currency and accuracy of individual personnel records
D	Effective review and revision mechanisms exist in fewer than 50% of MDAs to ensure the currency and accuracy of individual personnel records

- iii) Individual personnel records are maintained securely and access is restricted to authorised personnel.

Score	Minimum requirements
A	All individual personnel records are maintained securely and access is always restricted to authorised personnel
B	Personnel records in 75-99% of MDAs are secure and access is restricted to authorised personnel
C	Personnel records in 50-74% of MDAs are secure and access is restricted to authorised personnel
D	Personnel records in less than 50% of MDAs are secure and access is restricted to authorised personnel

- iv) Public servants have regular controlled opportunities to review information held on their personnel records and request evidence-based corrections to factual errors.

Score	Minimum requirements
A	All public servants have regular controlled opportunities to review information held in their personnel records and request evidence-based corrections to factual errors
B	Public servants can request and are allowed access to their personnel records to review information held on them and correct factual errors
C	Public servants have limited opportunities to review information held in their personnel records and to request evidence-based corrections to factual errors
D	Public servants do not have access to information held in their personnel records

v) Personnel records are linked to, and reconciled with payroll records.

Score	Minimum requirements
A	There is a working system in place whereby personnel records are regularly and accurately linked to and reconciled with payroll records across the whole of state government
B	Personnel records are accurately linked to and reconciled with payroll records at irregular intervals
C	Personnel records are partially and irregularly linked to and reconciled with payroll records
D	Personnel records are seldom or never reconciled with payroll records

vi) Statistical information about the composition of the workforce, disaggregated by sex, age, and other measures of gender and social inclusion, is regularly generated.

Score	Minimum requirements
A	There is a computerised process in place and operational which regularly produces accurate statistical information about the composition of the workforce
B	Statistical information about the composition of the workforce is available on request
C	Statistical information about the composition of the workforce is not regularly generated and is limited in content
D	There is no production or circulation of workforce data

## Category B: HRM – Establishment, Workforce Planning and Management

### Dimension 1: Establishment Planning, Job Design and Grading

i) There is a clear system with guidelines for establishment planning which is effectively and efficiently operated.

Score	Minimum requirements
A	There is a clear system with guidelines for establishment planning which is effectively and efficiently operated in all MDAs and across government
B	There is a clear system with guidelines for establishment planning which is effectively and efficiently operated in more than 50% of MDAs
C	There is a partial system for establishment planning which is operated in 25–50% of MDAs
D	There is no clear system or guidelines for establishment planning, or a system exists, but is not in use

ii) Posts/jobs are designed for the functions and work volumes of the service.

Score	Minimum requirements
A	Posts/jobs are designed for the functions and work volumes of the service in each MDA
B	Posts/jobs are designed for the functions and work volumes of service in 75–99% of MDAs
C	Posts/jobs are designed for the functions and work volumes of service in 25–74% of MDAs
D	Posts/jobs are designed for the functions and work volumes of service in less than 25% of MDAs or jobs are not designed, but simply designated by the Scheme of Service



- iii) Each post has a detailed description that includes: a) a statement of the purpose of the post; b) the duties to be carried out; c) the tasks involved; d) objectives to be achieved; e) quality standards to be met; f) competency (technical knowledge, experience and skills) required; g) roles and responsibilities; and h) accountabilities.

*and*

Each post is assigned a grade through an objective process of job evaluation that assesses the relative worth and size of the job roles in the service along with the level of competency (technical knowledge, experience and skills) required.

Score	Minimum requirements
A	In all MDAs each job has a detailed job description that includes all eight of the elements (a–h) and is assigned a grade through an objective process of job evaluation
B	Each job has a job description that includes at least six of the elements (a–h) and is assigned a grade through an objective process of job evaluation
C	Each job has a job description that includes at least four of the elements (a–h) and is assigned a grade through an objective process of job evaluation
D	Each job description includes two or less of the elements (a–h). The Scheme of Service is regarded as the only job description and the mechanism to assign grades

- iv) The grading structure and criteria are published and accessible to all public servants.

Score	Minimum requirements
A	The state public service grading structure and criteria are published and accessible to all public servants
B	The grading structure and criteria are published, but only accessible to 50–99% of public servants
C	The grading structure and criteria are published and accessible to less than 50% of public servants
D	The grading structure and criteria are not published and are largely inaccessible to public servants

- v) Procedures exist and are used to regularly review posts, staff numbers and grades to ensure that they continue to be relevant to functional requirements.

Score	Minimum requirements
A	An effective mechanism exists and is used to regularly review posts, staff numbers and grades to ensure that they continue to be relevant to functional requirements
B	An effective mechanism exists, but reviews have not been carried out for over 10 years
C	An effective mechanism exists, but the capacity of the state government to conduct such exercises is now too low to undertake them
D	There is no effective system for reviewing posts, staff numbers and grades to ensure that they continue to be relevant to functional requirements

## Dimension 2: Workforce Planning

- i) MDAs have workforce plans which are formulated in the light of accurate and up-to-date workforce statistics.

Score	Minimum requirements
A	All MDAs have workforce plans which are formulated in the light of accurate and up-to-date workforce statistics
B	75–99% of MDAs have workforce plans which are formulated in the light of accurate and up-to-date workforce statistics
C	50–74% of MDAs have workforce plans which are formulated in the light of accurate workforce statistics
D	Less than 50% of MDAs have workforce plans which are formulated in the light of accurate and up-to-date workforce statistics, or there is no workforce planning process in place

- ii) Workforce plans take account of: a) workforce skills; b) age profiles; c) national gender policy requirements; d) market conditions; e) talent; f) succession requirements; and g) realistic budgets.

Score	Minimum requirements
A	Workforce plans take account of all elements (a–e) for all MDAs and the public service as a whole
B	Data on three of the elements (a–e) are routinely collected and used to inform workforce plans
C	Data on one or two of the elements (a–e) are routinely collected and used to inform workforce plans
D	Workforce plans do not take account of any of the elements (a–e) or there is no workforce planning process in place

- iii) Workforce plans are designed to achieve representation and diversity policy targets.

Score	Minimum requirements
A	For all MDAs and the public service as a whole, clear diversity policy targets are in place and are used in workforce planning to ensure the public service is representative of the population it serves
B	Workforce plans are designed to achieve representation and diversity policy targets in 75–99% of MDAs
C	Workforce plans are designed to achieve representation and diversity policy targets in 50–74% of MDAs
D	Workforce plans are designed to achieve representation and diversity policy targets in less than 50% of MDAs

- iv) Workforce plans are published and accessible to public servants.

Score	Minimum requirements
A	Workforce plans are available, published and made accessible to all public servants
B	Workforce plans are published and made accessible to 75–99% of public servants
C	Workforce plans are published and made accessible to 50–74% of public servants
D	Workforce plans are not published and are accessible to less than 50% of public servants, or there is no published workforce plan beyond the annual personnel budget

### Dimension 3: HR Recruitment, Posting, Promotion and Career Guidance

- i) All recruitment, posting and promotion decisions are merit-based and not subject to interference or hindrance.

Score	Minimum requirements
A	All recruitment, posting and promotion decisions are merit-based and not subject to interference or hindrance
B	75–99% of recruitment, posting and promotion decisions are merit-based and not subject to interference or hindrance
C	50–74% of recruitment, posting and promotion decisions are merit-based and not subject to interference or hindrance
D	Less than 50% of recruitment, posting and promotion decisions are merit-based and not subject to interference or hindrance

- ii) Principles, procedures and merit criteria for recruitment, posting and promotion are published and accessible to all public servants in a career progression policy.

Score	Minimum requirements
A	Principles, procedures and merit criteria for recruitment, posting and promotion are published and made readily accessible to all public servants in a career progression policy
B	Principles, procedures and merit criteria for recruitment, posting and promotion are usually published, but not made readily accessible
C	Principles, procedures and merit criteria for recruitment, posting and promotion are not published and are difficult to access
D	There are few laid down principles, procedures and merit criteria for recruitment, posting and promotion

- iii) Each public servant receives a contract of employment on appointment which sets out the rights and obligations of both parties, is signed by both parties and is written in accessible language.

Score	Minimum requirements
A	Each public servant receives a contract of employment on appointment which sets out the rights and obligations of both parties, is signed by both and is written in accessible language
B	75–99% of public servants receive a contract of employment on appointment which sets out the rights and obligations of both parties, is signed by both and is written in accessible language
C	50–74% of public servants receive a contract of employment on appointment which sets out the rights and obligations of both parties, is signed by both and is written in accessible language
D	Less than 50% of public servants receive a contract of employment on appointment which sets out the rights and obligations of both parties, is signed by both and is written in accessible language

- iv) An appeals procedure, enabling public servants to request a review of recruitment, posting, or promotion decisions is operating and accessible to all public servants.

Score	Minimum requirements
A	An appeals procedure, enabling public servants to request a review of recruitment, posting, or promotion decisions, is operating and accessible to all public servants
B	An appeals procedure, enabling public servants to request a review of recruitment, posting, or promotion decisions, is operating and accessible to 75–99% of public servants
C	An appeals procedure, enabling public servants to request a review of recruitment, posting, or promotion decisions, is operating and accessible to 50–74% of public servants
D	An appeals procedure, enabling public servants to request a review of recruitment, posting, or promotion decisions, is operating and accessible to less than 50% of public servants

- v) Career guidance and planning advice is available to all public servants.

Score	Minimum requirements
A	Career guidance and planning advice is available to all public servants
B	Career guidance and planning advice is available to 75–99% of public servants
C	Career guidance and planning advice is available to 50–74% of public servants
D	Career guidance and planning advice is available to less than 50% of all public servants

## Category C: HRM – Performance Management and Workforce Development

### Dimension 1: Employee Performance Management System

- i) There is an objective employee performance management system for employees which managers are trained for and obliged to operate.

Score	Minimum requirements
A	There is an objective performance management system for all employees which managers are trained for and obliged to operate in all MDAs
B	There is an objective performance management system for employees which works in most MDAs although managers may require further training
C	There is performance management system for employees, but it is not based on up-to-date job descriptions and targets, and managers are not trained in its use
D	The performance management system for employees has largely become dysfunctional and is operated on an ad hoc basis largely to meet promotion requirements

- ii) Individual performance assessment is linked to agreed targets or service standards and involves at least an annual assessment.

Score	Minimum requirements
A	In all MDAs performance assessment is linked to agreed targets or service standards as a matter of policy and good practice and involves at least an annual assessment
B	In more than 75% of MDAs is performance assessment is linked to agreed targets or service standards and involves at least an annual assessment
C	In 50–74% of MDAs is performance assessment is linked to agreed targets or service standards and involves an annual assessment
D	In less than 50% of MDAs is performance assessment linked to agreed targets or service standards and involves an annual assessment

- iii) Results of performance assessments are available to respective employees, are properly filed and added to the HR database.

Score	Minimum requirements
A	In all MDAs the results of performance assessments are available to individual employees and are properly filed and added to the HR database
B	In 75–99% of MDAs the results of performance assessments are available to individual employees, are properly filed and added to the HR database
C	In 50–74% of MDAs the results of performance assessments are available to individual employees, are properly filed and added to the HR database
D	In less than 50% of MDAs the results of performance assessments are made available to individual employees, properly filed and added to the HR database

- iv) There are rewards and sanctions for good and poor performance which include enhanced or delayed promotion.

Score	Minimum requirements
A	There are rewards and sanctions for good and poor performance which include enhanced or delayed promotion operating in all MDAs
B	There are rewards and sanctions for good and poor performance which include enhanced or delayed promotion operating in more than 50% of MDAs
C	There are limited rewards and sanctions for good and poor performance, but performance has little effect on promotion
D	There are no rewards and sanctions for good and poor performance and performance has no effect on promotion

- v) Operation of the system is monitored by the central HRM function, and remedial action is taken when necessary.

Score	Minimum requirements
A	The performance management system is systematically managed by the central HR function which take action as necessary to keep the system on track
B	The performance management system is monitored by the central HR function, but no remedial action is taken
C	The system is not monitored as well or extensively as it should be
D	There is no monitoring by any central managers nor is remedial action taken

#### Dimension 2: Workforce Development Policies to Ensure that Public Servants have the Necessary Skills and Capacity to Carry Out Their Duties

- i) A current Workforce Development Policy exists which sets out the government's principles, objectives and approach for skills and capacity development.

Score	Minimum requirements
A	A current Workforce Development Policy exists which sets out the government's principles, objectives and approach for skills and capacity development for the public services
B	A Workforce Development Policy exists, but is not comprehensive in setting out the government's principles, objectives and approach for skills and capacity development
C	There is simply a set of training guidelines rather than a strategic Workforce Development Policy
D	There is no current Workforce Development Policy

- ii) The Workforce Development Policy includes: a) priority training areas; b) criteria and targets for HRD planning and budgets for training and development; c) organisational arrangements; d) criteria for the selection of trainees; e) criteria for use of HRD providers; f) recommended best practices for training and learning methodologies; and g) recommendations for the monitoring and evaluation (M&E) of HRD.

Score	Minimum requirements
A	The policy includes all the elements (a-g)
B	The policy includes at least five of the elements (a-g)
C	The policy includes at least three of the elements (a-g)
D	The policy includes none or only one or two of the elements (a-g)

- iii) The policy is published and accessible to all public servants who know who is responsible for what in implementing the policy.

Score	Minimum requirements
A	The policy is published and accessible to all public servants who know who is responsible for what in implementing the policy
B	The policy is published and accessible to 50–74% of public servants who know who is responsible for what in implementing the policy
C	The policy is published, but public servants cannot easily access it
D	The policy is not published and few public servants are aware of it

### Dimension 3: Workforce Development Management Systems

- i) There is a central properly resourced, professional HR development function.

Score	Minimum requirements
A	There is a central properly resourced, professional HR development function that is in operation across government
B	The central HR development function is operational, but could be more effective
C	The central HR development function is under-resourced and restricted in its capability to approve HR development plans and advise MDAs
D	The central HR development function is seriously inadequate

- ii) There are sufficient, appropriately qualified, dedicated training and development managers or departmental training officers (DTOs).

Score	Minimum requirements
A	There are sufficient, appropriately qualified, dedicated training and development managers or DTOs in each of the state government MDAs
B	75–99% of MDAs have sufficient, appropriately qualified, dedicated training and development managers or DTOs
C	50–74% of MDAs have sufficient, appropriately qualified, dedicated training and development managers or DTOs
D	Less than 50% of MDAs have sufficient, appropriately qualified, dedicated training and development managers or DTOs

- iii) There are properly resourced training facilities (either in-house, or provided through contractual arrangements with appropriately qualified and credible training organisations).

Score	Minimum requirements
A	There is a wide choice of properly resourced training facilities and credible training organisations available to the state public service
B	There are sufficient properly resourced training facilities and credible training organisations available
C	Plans are in place to provide properly resourced training facilities and more credible training organisation(s)
D	The choice and capability of training organisations and facilities is very limited

- iv) MDAs produce strategic active HRD plan, based on regular analyses of workforce statistics, skills gaps and training needs, which form a key part of workforce plans.

Score	Minimum Requirements
A	All MDAs produce strategic active HRD plans based on regular analyses of workforce statistics, skills gaps and training needs, which form a key part of workforce plans
B	50–74% of MDAs produce strategic active HRD plans, based on regular analyses of workforce statistics, skills gaps and training needs, which form a key part of workforce plans
C	Less than 50% of MDAs produce strategic active HRD plans, or plans are based on limited analyses of workforce statistics, skills gaps and training needs
D	There are no strategic active HRD plans

- v) Procedures for identifying training needs and selecting public servants to participate in training are made available to employees in accordance with published criteria and policies.

Score	Minimum requirements
A	The policies, procedures and criteria for identifying training needs and selecting public servants for training are clear, published and made available to all public servants
B	The policies, procedures and criteria for identifying training needs and selecting public servants for training are published and made available to 75–99% of public servants
C	The policies, procedures and criteria for identifying training needs and selecting public servants for training are published and made available to 50–74% of public servants
D	The policies, procedures and criteria for identifying training needs and selecting public servants for training are not published or are made available to less than 50% of public servants

- vi) MDAs have an annual training programme and a proportionate HRD budget based on a strategic HRD analyses and reflecting the government's training policy.

Score	Minimum requirements
A	All MDAs have an annual training programme and a proportionate HRD budget based on their strategic HRD analyses and reflecting the government's training policy
B	75–99% of MDAs have an annual training programme and a proportionate HRD budget based on their strategic HRD analyses and reflecting the government's training policy
C	50–74% of MDAs have an annual training programme and a proportionate HRD budget based on their strategic HRD analyses and reflecting the government's training policy
D	Less than 50% of MDAs have an annual training programme or a proportionate budget based on their strategic HRD analyses and reflecting the government's training policy

- vii) Training programmes are implemented as planned.

Score	Minimum requirements
A	Training programmes and budgets are implemented as planned in all MDAs
B	Training programmes and budgets are implemented as planned in 75–99% of MDAs
C	Training programmes and budgets are implemented as planned in 50–74% of MDAs
D	Training programmes and budgets are implemented as planned in less than 50% of MDAs

viii) All officers have individual learning plans, linked to their performance evaluations, which are used to improve specific skills and knowledge for their current post and to facilitate career progression.

Score	Minimum requirements
A	All officers have individual learning plans, linked to their performance evaluations, which are used to identify requirements and improve the skills and knowledge of individual public servants
B	75–99% of officers have individual learning plans, linked to their performance evaluations, which are used to identify requirements and improve the skills and knowledge of individual public servants
C	50–74% of officers have individual learning plans, linked to their performance evaluations, which are used to identify requirements and improve the skills and knowledge of individual public servants
D	Less than 50% of officers have individual learning plans linked to their performance evaluations

ix) Line managers actively identify training needs and request training for their staff.

Score	Minimum requirements
A	All line managers actively identify training needs and request training for their staff
B	75–99% of line managers actively identify training needs and request training for their staff
C	50–74% of line managers actively identify training needs and request training for their staff
D	Less than 50% of line managers are required to identify training needs and request training for their staff

x) Line managers ensure that new skills are applied in practice to improve job performance.

Score	Minimum requirements
A	All line managers ensure that new skills are applied in practice to improve job performance
B	75–99% of line managers ensure that new skills are applied in practice to improve job performance
C	50–74% of line managers ensure that new skills are applied in practice to improve job performance
D	Less than 50% of line managers ensure that new skills are applied in practice to improve job performance

xi) Learning and training events, providers and impacts are evaluated regularly and training plans are amended in light of this evaluation.

Score	Minimum requirements
A	There is a mechanism in place to evaluate all learning and training events, suppliers and impact and to amend training plans in light of this evaluation
B	Learning and training events, suppliers and impact are evaluated regularly, but the results do not inform training plans
C	Individual training events are partially evaluated, but there is no evaluation of HRD providers or of training impact
D	There is no evaluation mechanism in place



## Category D: HRM – Employer and Employee Responsibilities and Relations

### Dimension 1: A Code of Ethics or Code of Conduct to Govern Public Servants' Behaviour

- i) An up-to-date code of conduct/ethics or similar published document sets out the expected behaviour standards of public servants plus the disciplinary procedures/penalties to be applied where a public servant is proven to be in breach of the code.

Score	Minimum requirements
A	An up-to-date code of conduct/ethics or similar published document sets out the behaviour standards expected of public servants plus the disciplinary procedures/penalties to be applied where a public servant is found to be in breach of the code. The code is honoured by 75–100% of public servants and penalties for breach are always applied
B	An up-to-date code of conduct/ethics that sets out the behaviour standards expected of public servants is honoured by 50–74% of public servants. Penalties for breaching the code are routinely applied
C	An up-to-date code of conduct/ethics that sets out the behaviour standards expected of public servants is honoured by 25–49% of public servants. Penalties for breaching the code are not common
D	An up-to-date code of conduct/ethics that sets out the behaviour standards expected of public servants is honoured by fewer than 25% of public servants. Penalties for breaching the code are not applied

- ii) Transgressions are acted upon promptly and appropriately.

Score	Minimum requirements
A	Transgressions are acted upon promptly and appropriately in all cases
B	Transgressions are acted upon promptly and appropriately in 75–99% of known instances
C	Transgressions are acted upon promptly and appropriately in 50–74% of known instances
D	Transgressions are acted upon neither promptly nor appropriately

### Dimension 2: A Grievance Procedure to Provide Public Servants with a Channel to Express Legitimate Complaints

- i) A grievance policy and procedure is published and accessible to all public servants.

Score	Minimum requirements
A	A grievance policy and procedure is published and accessible to all public servants
B	A grievance policy and procedure is published and accessible to 75–99% of public servants
C	A grievance policy and procedure is published and accessible to 25–74% of public servants
D	There is no realistic grievance policy or procedure which is published or openly available

- ii) The central HRM function provides support to any public servant who wishes to pursue a legitimate grievance.

Score	Minimum requirements
A	The central HRM function provides support in all cases of legitimate grievance
B	The central HRM function provides support in 75–99% of cases of legitimate grievance
C	The central HRM function provides support in 25–74% of cases of legitimate grievance
D	The HRM function provides very little useful support to public servants who wish to pursue a legitimate grievance in only a minority of cases

- iii) All grievances are considered in a reasonable time by an objective and independent body.

Score	Minimum requirements
A	All grievances are considered in a reasonable time by an objective and independent body
B	In 50–99% of cases grievances are considered in a reasonable time by an objective and independent body
C	In less than 50% of cases grievances are considered in a reasonable time by an objective and independent body
D	The grievance procedures are either too slow or not handled by an objective and independent body

- iv) Grievance decisions are published, with reasons, and are accessible to all public servants.

Score	Minimum requirements
A	100% of grievance decisions are published, with reasons, and are accessible to all public servants
B	75–99% of grievance decisions are published, with reasons, and are accessible to all or most public servants
C	Over 50% of grievance decisions are published, with reasons, and are accessible to most public servants
D	Grievance decisions are not usually published or made accessible to all public servants

### Dimension 3: Welfare Services are Available to Support Public Servants

- i) An up-to-date welfare policy, welfare benefits and a set of procedures exists and is readily accessible to all public servants.

Score	Minimum requirements
A	An up-to-date welfare policy, welfare benefits and set of procedures are in place and readily accessible to all public servants
B	An up-to-date welfare policy, welfare benefits and set of procedures exists and is readily accessible to 50–99% of public servants
C	An up-to-date welfare policy, welfare benefits and set of procedures exists and is readily accessible to less than 50% of public servants
D	There is no up-to-date welfare policy, welfare benefits or set of procedures in place

- ii) The central HRM function includes trained welfare officers who are available to assist public servants as required by the policy.

Score	Minimum requirements
A	There are sufficient trained welfare officers available to provide help
B	There are a limited number of trained welfare officers available
C	Plans are in place to train welfare officers, but at present very few are in post
D	There are no trained welfare officers available

- iii) Public servants can usually access welfare benefits to which they are entitled by the policy.

Score	Minimum requirements
A	All public servants know what welfare benefits and support they are entitled to and are able to access them
B	50–99% of public servants know what welfare benefits and support they are entitled to and are able to access them
C	Generally public servants know what welfare benefits they are entitled to, but access is limited
D	Most public servants neither know their welfare benefit entitlements, nor how to access them

## Category E: HRM – Pay and Pensions

### Dimension 1: Pay and Allowances

- i) Salary and allowance structures are rational and related to accepted grade and experience criteria.

Score	Minimum requirements
A	Salary structures are rational and related to accepted grade and experience criteria in the state public services
B	Salary structures are rational and related to accepted grade and experience criteria in selected sectors or tiers
C	Salary structures are related to accepted grade and experience criteria
D	Salary structures are neither rational nor related to accepted grade and experience criteria

- ii) Pay policy is regularly reviewed and reflects prevailing labour market and broader economic conditions.

Score	Minimum requirements
A	Pay policy is regularly reviewed and reflects the current labour market and broader economic conditions
B	Pay policy is reviewed periodically and broadly reflects the current labour market and broader economic conditions
C	Pay policy is not regularly reviewed; information about the current labour market and broader economic conditions is not collected
D	The pay policy is out of date and disconnected from the prevailing labour market and broader economic conditions

iii) The proportion of the total state budget allocated to salaries and allowances is appropriate and affordable.

Score	Minimum requirements
A	The emoluments budget is appropriate and affordable
B	The emoluments budget is appropriate and proportionate, but not affordable
C	The emoluments budget is disproportionate, but affordable
D	The emoluments budget is disproportionate and not affordable

iv) Political appointees, elected representatives, etc. are included in the pay policy and their pay is fair and transparent.

Score	Minimum requirements
A	Political appointees, elected representatives, etc. are included in the state public service pay policy and their pay is fair and transparent
B	Political appointees and elected representatives have their own pay policy separate from the public service, but their pay is fair and transparent
C	Political appointees and elected representatives have their own pay policy separate from public service; their pay is not fair or transparent
D	There are no pay policies in place for political appointees and elected representatives, their pay can be decided behind closed doors

v) Pay policy, pay scales, allowances and criteria for determining pay are published and accessible to public servants and the public.

Score	Minimum requirements
A	Pay policy, pay scales, allowances and criteria for determining pay are published and accessible to all public servants and the public
B	Pay policy, pay scales, allowances and criteria for determining pay are published and accessible to all public servants, but not the public
C	Pay policy, pay scales, allowances and criteria for determining pay are published, but not accessible to public servants
D	Pay policy, pay scales, allowances and criteria for determining pay are not published

vi) Most allowances are monetised and therefore taxable in line with the federal system.

Score	Minimum requirements
A	Most allowances are monetised and therefore taxable in line with the federal system
B	Plans are in place to monetise most allowances in line with the federal system
C	Few allowances are monetised and therefore taxable in line with the federal system
D	Allowances are not monetised

vii) Pay is correctly calculated and paid on time.

Score	Minimum requirements
A	Pay is correctly calculated and paid on time in all cases
B	Pay is correctly calculated and paid on time for 75–99% of staff
C	Pay is correctly calculated and paid on time for 50–74% of staff
D	Pay is correctly calculated and paid on time for less than 50% of staff

viii) The means of payment is secure, minimises transaction costs and is user-friendly for public servants.

Score	Minimum requirements
A	In all cases payment is made electronically – it is secure, cost effective and convenient for all public servants
B	Payment is made electronically – it is secure, cost effective, but not always reliable [at the banks] and convenient for public servants
C	The means of payment is not secure, is expensive and not user-friendly for public servants
D	The means of payment is out of date and inconvenient

## Dimension 2: Payroll

i) The nominal role and payroll are linked, so that entitlement to pay can be verified.

Score	Minimum requirements
A	A computerised system is in place and operating effectively to link nominal roll and payroll for all government entities
B	A computerised system is in place and operating effectively to link nominal roll and payroll for 75–99% of MDAs
C	A computerised system is in place and operating effectively to link nominal roll and payroll for 50–74% of MDAs
D	There is no reliable link between nominal roll and payroll; verification of pay is a problem

ii) The payroll is clean and is regularly reviewed to ensure that all pay entitlements are correct.

Score	Minimum requirements
A	A computerised system is in place and operating effectively. The payroll is clean, and is regularly reviewed to ensure that all pay entitlements are correct
B	A computerised payroll system is in place with minor payroll errors
C	A system to clean the payroll is being put into effect and plans for regular checks have been prepared
D	The payroll is not regarded as clean and is not reviewed regularly

iii) The payroll is secure, and can be accessed and altered only by properly authorised persons in accordance with security procedures.

Score	Minimum requirements
A	For all public servants the payroll is secure and can be accessed and altered only by properly authorised persons in accordance with security procedures
B	For 75–99% of public servants the payroll is secure and can be accessed and altered only by properly authorised persons in accordance with security procedures
C	For 50–74% of public servants the payroll is secure, and can be accessed and altered only by properly authorised persons in accordance with security
D	For less than 50% of public servants the payroll is secure, and can be accessed and altered only by properly authorised persons in accordance with security

iv) Political appointees and representatives are on the payroll.

Score	Minimum requirements
A	All political appointees and representatives are on the payroll
B	75–99% of political appointees and representatives are on the payroll
C	50–74% of political appointees and representatives are on the payroll
D	Political appointees and representatives have a separate non-transparent payroll

### Dimension 3: Pensions

i) There are clear pension policies in place, underpinned by law and being implemented for all public servants.

Score	Minimum requirements
A	There are clear pension policies in place, underpinned by law and being implemented for all public servants
B	There are clear pension policies in place, underpinned by law and being implemented for 50–99% of public servants
C	Pension policies are not clear, but operate for the majority of public servants
D	Clear pension policies in place for less than 50% of public servants

ii) Public servants are provided with detailed information on pensions, investment and payment options.

Score	Minimum requirements
A	Detailed information is provided in all cases and sectors
B	Detailed information is provided in 75–99% of cases
C	Detailed information is provided in 50–74% of cases
D	Most public servants are not provided with detailed information on pensions, investment and payment options

iii) Fully operational contributory pension schemes are in place.

Score	Minimum requirements
A	Fully funded contributory pension schemes are in place and operating as planned for all public servants
B	Fully funded contributory pension schemes are in place for 75–99% of public servants
C	Fully funded contributory pension schemes are in place for 50–74% of public servants
D	Fully funded contributory pension schemes are in place for less than 50% of public servants

- iv) Pensions reflect realistic economic expectations and contributions by employer and employees are appropriate and accepted.

Score	Minimum requirements
A	Pensions reflect realistic economic expectations and contributions by employer and employees are appropriate and fully accepted in over 75% of cases
B	There is a review mechanism in place to ensure that pensions reflect realistic economic expectations and contributions by employer and employees are appropriate and accepted for 50–74% of contributors
C	There is a review mechanism in place to ensure that pensions reflect realistic economic expectations, but it is not used; contributions by employer and employees are regarded as appropriate and accepted by less than 50% of contributors
D	Pensions do not reflect realistic economic expectations and contributions by employer and employees are inappropriate and unacceptable in over 75% of cases

- v) The pension commitments of the state government are costed, affordable, budgeted for and fully paid up.

Score	Minimum requirements
A	The pension commitments of the state government are based on reliable actuarial forecasts, budgeted for and fully paid up
B	The pension commitments of the state government are believed to be costed, affordable, budgeted for and paid up
C	It is not clear whether the pension commitments of the state government are costed, affordable, budgeted for and paid up
D	The pension commitments of the state government are not costed, affordable, budgeted for or paid up

- vi) Pensions are correctly calculated and fully paid on time.

Score	Minimum requirements
A	Pensions are correctly calculated and fully paid on time in all cases and sectors
B	Pensions are correctly calculated and fully paid on time in 75–99% of cases
C	Pensions are correctly calculated and fully paid on time in 25–74% of cases
D	In most cases pensions are not correctly calculated or fully paid

- vii) Pension arrangements include fair and transparent arrangements for political appointees and representatives.

Score	Minimum requirements
A	All political appointees and representatives are included in fair and transparent pension arrangements
B	Most political appointees and representatives are included in fair and transparent pension arrangements
C	Few political appointees are included in pension arrangements; most have non-transparent, more beneficial arrangements
D	Political appointees and representatives are not included in pension arrangements. They all have non-transparent, more beneficial arrangements

## Part C: Template for Recording Assessment

### A HRM – Policies and Organisation

#### 1 HRM Laws and Rules for State Public Servants (3)

- (i) There are clear, comprehensive and up-to-date state HRM laws and regulations which govern public service employment, rights and obligations, etc. and which reflect relevant federal requirements (e.g. National Gender Policy)

Score and rationale:

- (ii) Laws, rules and regulations are published and accessible to all public servants and the public.

Score and rationale:

- (iii) The laws, rules and regulations are enforced and effective sanctions imposed in cases of default.

Score and rationale:

#### 2 HRM Policies Governing Terms and Conditions of Service and the Contract of Employment Between the Public Servant and the State. (3)

- (i) There are clear, comprehensive and up-to-date HRM policies which cover general terms and conditions of employment.

Score and rationale:

- (ii) HRM policies, guidelines and rules are published and accessible.

Score and rationale:



(iii) Induction is provided for all public servants to familiarise them with policies, guidelines and rules.

Score and rationale:

**3 Professional Central HRM (2)**

(i) HRM functions are properly defined and allocated to appropriate structures (especially within the OHOS, Civil Service Commission, LGSC).

Score and rationale:

(ii) The HRM system is staffed by competent and appropriately qualified HR managers.

Score and rationale:

**4 HR Records and Statistics for Management of Public Servants' Employment. (6)**

(i) There is a comprehensive HR database with up-to-date and accurate individual personnel records including personal information, education, qualifications, experience and performance data.

Score and rationale:

(ii) Effective review and revision mechanisms exist to ensure the currency and accuracy of individual personnel records.

Score and rationale:

(iii) Individual personnel records are maintained securely and access is restricted to authorised personnel.

Score and rationale:

(iv) Public servants have regular controlled opportunities to review information held on their personnel records and request evidence-based corrections to factual errors.

Score and rationale:

(v) Personnel records are linked to and reconciled with payroll records.

Score and rationale:

(vi) Statistical information about the composition of the workforce, disaggregated by sex, age and other measures of gender and social inclusion, is regularly generated.

Score and rationale:

**B HRM – Establishment and Workforce Planning and Management**

**1 Establishment Planning, Job Design and Grading. (5)**

(i) There is a clear system with guidelines for establishment planning which is effectively and efficiently operated.

Score and rationale:

(ii) Posts/jobs are designed for the functions and work volumes of the service.

Score and rationale:

(iii) Each post has a detailed description that includes: a) a statement of the purpose; b) the duties to be carried out; c) the tasks involved; d) objectives to be achieved; e) quality standards to be met; f) competency (technical knowledge experience and skills) required; g) roles and responsibilities; and h) accountabilities **and**

Each post is assigned a grade through an objective process of job evaluation that assesses the relative worth and size of the job roles in the service along with the level of competency (technical knowledge, experience and skills) required.

Score and rationale:

(iv) The grading structure and criteria are published and accessible to all public servants.

Score and rationale:

(v) Procedures exist and are used to regularly review, posts and staff numbers and grades to ensure that they continue to be relevant to functional requirements.

Score and rationale:

## 2 Workforce Planning (4)

(i) MDAs have workforce plans which are formulated in the light of accurate and up-to-date workforce statistics.

Score and rationale:

- (ii) Workforce plans take account of a) workforce skills; b) age profiles; c) National Gender Policy requirements; d) market conditions; e) talent; and f) succession requirements.

Score and rationale:

- (iii) Workforce plans are designed to achieve representation and diversity policy targets.

Score and rationale:

- (iv) Workforce plans are published and accessible to public servants.

Score and rationale:

**3 HR Recruitment, Posting, Promotion and Career Guidance. (5)**

- (i) All recruitment, posting and promotion decisions are merit-based and not subject to interference or hindrance.

Score and rationale:

- (ii) Principles, procedures and merit criteria for recruitment, posting and promotion are published and accessible to all public servants in a career progression policy.

Score and rationale:

- (iii) Each public servant receives a contract of employment on appointment which sets out the rights and obligations of both parties, is signed by both parties and is written in accessible language.

Score and rationale:

- (iv) An appeals procedure enabling public servants to request a review of recruitment, posting, or promotion decisions exists, is implemented and is accessible to all public servants.

Score and rationale:

- (v) Career guidance and planning advice is available to all public servants.

Score and rationale:

**C HRM – Performance Management and Workforce Development**

**1 Employee Performance Management System (5)**

- (i) There is an objective performance management system for employees which managers are trained in and obliged to use.

Score and rationale:

- (ii) Individual performance assessment is linked to agreed targets or service standards and involves at least an annual assessment.

Score and rationale:

(iii) Results of performance assessments are available to respective employees, are properly filed and added to the HR database.

Score and rationale:

(iv) There are rewards and sanctions for good and poor performance which include enhanced or delayed promotion.

Score and rationale:

(v) Operation of the system is monitored by the central HRM function, and remedial action is taken when necessary.

Score and rationale:

**2 Workforce Development Policies to Ensure that Public Servants have the Necessary Skills and Capacity to Carry Out Their Duties. (3)**

(i) A current Workforce Development Policy exists which sets out the government's principles, objectives and approach for skills and capacity development.

Score and rationale:

(ii) The policy includes: a) priority training areas; b) criteria and targets for HRD planning and budgets for training and development; c) organisational arrangements; d) criteria for selection of trainees; e) criteria for use of HRD providers; f) recommended best practice for training and learning methodologies; and g) recommendations for the M&E of HRD.

Score and rationale:

- (iii) The policy is published and accessible to all public servants who know who is responsible for what in implementing the policy.

Score and rationale:

**3 Workforce Development Management Systems (11)**

- (i) There is a central properly resourced, professional HR development function.

Score and rationale:

- (ii) There are sufficient appropriately qualified dedicated training and development managers or DTOs.

Score and rationale:

- (iii) There are properly resourced training facilities (either in-house, or provided through contractual arrangements with appropriately qualified and credible training organisations).

Score and rationale:

- (iv) MDAs produce strategic active HRD plans, based on regular analyses of workforce statistics, skills gaps and training needs, which form a key part of workforce plans.

Score and rationale:

(v) Procedures for identifying training needs and selecting public servants to participate in training are made available to employees in accordance with published criteria and policies.

Score and rationale:

(vi) MDAs have an annual training programme and a significant HRD budget based on their strategic HRD analyses and reflecting the government's training policy.

Score and rationale:

(vii) Training programmes are implemented as planned.

Score and rationale:

(viii) All officers have individual learning plans, linked to their performance evaluations, which are used to improve skills and knowledge for the current post, and to facilitate career progression.

Score and rationale:

(ix) Line managers actively identify training needs and request training for their staff.

Score and rationale:



(x) Line managers ensure that new skills are applied in practice to improve job performance.

Score and rationale:

(xi) Learning and training events, providers and impacts are evaluated regularly and training plans are amended in light of this evaluation.

Score and rationale:

**D HRM – Employer and Employee Responsibilities and Relations**

**1 A Code of Ethics or Code of Conduct to Govern Public Servants' Behaviour (2)**

(i) An up-to-date code of conduct/ethics or similar published document sets out the expected behaviour standards of public servants plus the disciplinary procedures/penalties to be applied where a public servant is proved to be in breach of the code.

Score and rationale:

(ii) Transgressions are acted upon promptly and appropriately.

Score and rationale:

**2 A Grievance Procedure to Provide Public Servants with a Channel to Express Legitimate Complaints (4)**

(i) A grievance policy and procedure is published and accessible to all public servants.

Score and rationale:

- (ii) The central HRM function provides support to any public servant who wishes to pursue a legitimate grievance.

Score and rationale:

- (iii) All grievances are considered in a reasonable time by an objective and independent body.

Score and rationale:

- (iv) Grievance decisions are published, with reasons, and are accessible to all public servants.

Score and rationale:

**3 Welfare Services Are Available to Support Public Servants (3)**

- (i) An up-to-date welfare policy, welfare benefits and a set of procedures exists and is readily accessible to all public servants.

Score and rationale:

- (ii) The central HRM function includes trained welfare officers who are available to assist public servants as required by the policy.

Score and rationale:

(iii) Public servants can usually to access welfare benefits to which they are entitled by the policy.

Score and rationale:

**E HRM – Pay and Pensions**

**1 Pay and Allowances (8)**

(i) Salary and allowance structure(s) is (are) rational and related to accepted grade and experience criteria.

Score and rationale:

(ii) Pay policy is regularly reviewed and reflects prevailing labour market and broader economic conditions.

Score and rationale:

(iii) The proportion of the total state budget allocated to emoluments is appropriate and affordable.

Score and rationale:

(iv) Political appointees, elected representatives, etc. are included in the pay policy and their pay is fair and transparent.

Score and rationale:

(v) Pay policy, pay scales, allowances and criteria for determining pay are published and accessible to public servants and the public.

Score and rationale:

(vi) Most allowances are monetised and therefore taxable in line with the federal system.

Score and rationale:

(vii) Pay is correctly calculated and paid on time.

Score and rationale:

(viii) The means of payment is secure, minimises transaction costs and is user-friendly for public servants.

Score and rationale:

**2 Payroll (4)**

(i) The nominal role and payroll are linked, so that entitlement to pay can be verified.

Score and rationale:

(ii) The payroll is clean and is regularly reviewed to ensure that all pay entitlements are correct.

Score and rationale:

(iii) The payroll is secure, and can be accessed and altered only by properly authorised persons in accordance with security procedures.

Score and rationale:

(iv) Political appointees and representatives are on the payroll.

Score and rationale:

### 3 Pensions (7)

(i) There are clear pension policies in place, underpinned by law and being implemented for all public servants.

Score and rationale:

(ii) Public servants are provided with detailed information on pensions, investment and payment options.

Score and rationale:

(iii) Fully operational contributory pension schemes are in place.

Score and rationale:

(iv) Pensions reflect realistic economic expectations and percentage contributions by employer and employees are appropriate and accepted.

Score and rationale:

(v) The pension commitments of the State government are budgeted for, affordable and fully paid up.

Score and rationale:

(vi) Pensions are correctly calculated and fully paid on time.

Score and rationale:

(vii) Pension arrangements include fair and transparent arrangements for political appointees and representatives.

Score and rationale:

# SPARC HRM 2013

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## HRM Frameworks

**2B:**

**HR Policy Principles  
and  
Policies**

**sparc**

## Human Resources Policies

Human resources (HR) policies provide a framework for guiding decision making in the state and for supporting effective people management, planning and administration. They define the required employment standards that every officer is expected to comply with and the required behaviours and ethics. They differ from the civil service rules and HR operational guidelines (or procedures) in the following way:

HR Policies	Civil Service Rules	HR Operational Guidelines/Procedures
Why?  The principles and statements of intent that should guide decision making i.e. what does the state as an employer stand for, what is it committed to doing?	What?  The regulations with which all officers must comply	How?  An indication of how the HR policies should be administered, with practical step-by-step instructions

Because each state has a different set of circumstances, it is important that they develop their own set of tailored HR policies. This document is intended to explain how such a challenge might be approached and outline some basic building blocks or 'principles' on which it may then be possible to design more detailed policies.



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# Getting Started

## Step 1: Which Policies Are Needed?

The first step when developing a new set of HR policies will be for the state to consider which HR policies it wishes to prioritise for development. It may be preferable to focus initially on those most likely to have an immediate impact on effective and strategic human resources management (HRM), rather than a complete 'wish list' of all possible policies and sub-policies. Examples might include the following:

Sample policy	Sample sub-policy
<b>Workforce planning</b>	
Recruitment, selection and appointment	<ul style="list-style-type: none"> <li>• Recruitment</li> <li>• Selection</li> <li>• Appointment</li> <li>• Other types of appointment</li> <li>• Induction</li> <li>• Probation</li> <li>• Confirmation</li> </ul>
Deployment, transfer and secondment	<ul style="list-style-type: none"> <li>• Deployment</li> <li>• Transfer</li> <li>• Secondment</li> </ul>
Terms and conditions	<ul style="list-style-type: none"> <li>• Payment arrangements</li> <li>• Salary</li> <li>• Allowances</li> <li>• Emoluments</li> <li>• Increments</li> <li>• Pension</li> <li>• Life insurance</li> <li>• Personal accident insurance</li> <li>• Indemnity cover</li> </ul>
Staff conduct and ethics	<ul style="list-style-type: none"> <li>• Loyalty</li> <li>• Use of office equipment</li> <li>• Internet</li> <li>• Drug abuse</li> <li>• Standards of conduct</li> <li>• Mode of dress</li> <li>• Confidentiality</li> </ul>
Working hours and leave	<ul style="list-style-type: none"> <li>• Working hours</li> <li>• Overtime</li> <li>• Annual leave</li> <li>• Proportionate or pro-rated leave</li> <li>• Maternity leave</li> <li>• Paternity leave</li> <li>• Adoption leave</li> </ul>

	<ul style="list-style-type: none"> <li>• Examination leave</li> <li>• Sabbatical leave</li> <li>• Study leave</li> <li>• Religious leave</li> <li>• Compassionate leave</li> <li>• Unpaid leave/leave of absence</li> <li>• Pre-retirement leave</li> </ul>
Disciplinary, grievance and whistle blowing	<ul style="list-style-type: none"> <li>• Disciplinary</li> <li>• Grievance</li> <li>• Whistle blowing</li> </ul>
<b>Appeals</b>	
Sickness and medical provisions	<ul style="list-style-type: none"> <li>• Medical on appointment</li> <li>• Medicals for confirmed staff</li> <li>• Special medical tests</li> <li>• Disclosure</li> <li>• Medical leave</li> <li>• Medical facilities</li> <li>• Medical treatment on official government business</li> <li>• Absence from duty on account of illness</li> <li>• Invalided/incapacity</li> <li>• Resignation on grounds of ill health</li> </ul>
Career development	<ul style="list-style-type: none"> <li>• Appraisals</li> <li>• Seconded officers</li> <li>• Confirmation of appointment</li> <li>• Officers on leave</li> <li>• Promotion</li> </ul>
Learning and development	<ul style="list-style-type: none"> <li>• Training</li> <li>• Career management</li> <li>• Educational development</li> <li>• Courses of instruction</li> </ul>
Data management	<ul style="list-style-type: none"> <li>• Changes to personal details/qualifications</li> <li>• Confidentiality</li> <li>• Information security and data protection</li> <li>• Registry</li> </ul>
Diversity, social inclusion, gender and disability	<ul style="list-style-type: none"> <li>• Diversity</li> <li>• Social inclusion</li> <li>• Gender</li> <li>• Disability</li> </ul>
<b>Health and safety</b>	
Leavers	<ul style="list-style-type: none"> <li>• Notice periods</li> <li>• Reimbursement of funds</li> <li>• Resignation</li> <li>• Redundancy</li> <li>• Retirement</li> </ul>

- Pensions
- Handover
- Exit interview
- Certificate of service
- Payment in lieu

## Step 2: Developing Policy Principles

Once the HR policies to be developed have been decided, a representative HR Policies Committee should be established to discuss and develop the core principles on which to build each policy. A sample set of HR policy principles is contained in this document (see below). It may be helpful for the Committee to start by reviewing these principles and deciding to what extent they agree/disagree with each of these principles. Those which they disagree with and those which are not applicable will need to be adapted.

Best practice HR policies are founded on the key principle of *meritocracy* and the state must decide for itself to what extent it wishes to reinforce this. Meritocracy means that all HR decisions should be taken based on the skills and abilities of individual officers. For example:

- Recruitment should be based on merit. This means that only those meeting a pre-defined set of criteria, outlined in an approved job description, should be appointed to the service
- Promotion should be based on merit. This means that not all officers eligible for promotion should be promoted; only those who can demonstrate and provide examples of outstanding performance on-the-job
- The disciplinary process should be fair and transparent. This means the resulting investigation and outcome should remain independent and unbiased
- Training should be based on need. This means that training is not about making sure all officers go on a training course. It is about first identifying the particular development needs of a defined population, designing training to meet those needs and sending officers on relevant training, the outcomes of which are then assessed on their return to the office

## Step 3: Developing Policies

Once the principles for the relevant HR policies have been agreed it is suggested that working groups should then be established to develop detailed policies/sub-policies, with drafts submitted to the relevant stakeholders for review/comment. Once a suitably detailed set of policies/sub-policies have been drafted a focused meeting might then be held by the HR Policies Committee for these to be revised/adjusted/approved as needed.

## Implications of Policies

Once a detailed set of HR policies have been developed it may be worthwhile noting that these will have knock-on implications for the civil service rules and may require some key decisions to be made by the state. See the table that follows for examples.

Option 1 'Quick wins'	Do not adjust the civil service rules	+ve	The state will have produced a set of HR policies – although the extent to which these can be applied may be limited
		-ve	Best practice HR policies may need to be revised or scaled back accordingly and may not, therefore, reinforce meritocratic HR decision making
Option 2 'Medium Impact'	Adjust/adapt the civil service rules	+ve	Civil service rules are guided by the newly described key principles and ethics of the state government
		-ve	If the HR policies are not drafted carefully there may be multiple points of overlap with the civil service rules which will need to be addressed
Option 3 'Best practice'	Conduct a comprehensive review of civil service rules and develop a complementary set of HR operational guidelines	+ve	This approach is most likely to reinforce best practice HR decision making and ensure HR officers are clear about their day-to-day roles and responsibilities
		-ve	This option will be time and resource intensive

## Difference between Policy Principles and a Policy

As outlined in Step 2 above, there follows below a set of introductory HR policy principles for consideration by the state in its development journey. It is important to remember, however, that these do not in themselves constitute policies. In order to illustrate this point a sample principle and sample policy are described below:

### Sample Workforce Planning Principles:

- *'The state plans to meet its capacity needs by nurturing skills within the service, managing succession, career development and getting the right balance between recruiting new staff and developing its own talent pool*
- *The state will ensure the right people with the right skills are in the right place, at the right time in order to deliver the government's strategic goals*
- *The state will ensure that the size and composition of the service is representative, fit for purpose and affordable.'*

### Sample Workforce Planning Policy:

*'The state government continues to introduce a number of important strategic reforms, including [insert details of long term projects here]. The successful implementation of these*

*reforms requires ministries, departments and agencies (MDAs) to consider new strategic directions, new ways of thinking and operating, new structures and positions, and new skills and capabilities for their workforce.*

*The primary aim of workforce planning is to have the right people with the right skills in the right job at the right time. It is the formal process used to identify the workforce needs to deliver the government's strategies and mandates. It identifies the gaps between staff supply and demand and allows MDAs to plan the best ways to acquire, develop and maintain the right talent and skills needed to deliver its strategic goals. It provides a mechanism for forecasting the demand for the numbers, grades and cadres of staff and, more importantly, their requisite skills, over a given period (usually 5-10 years) and to do this within the context of the wider labour market and planned changes to workforce productivity.*

*Workforce planning is the means by which staff capacity and capability can be strategically developed to meet future performance requirements. As such, workforce planning should drive all of the following management decisions taken at the MDA level:*

- *Recruitment and resourcing*
- *Deployment and succession planning*
- *Career development and training*

*It should, therefore, determine the structure and activities of the workforce, and is an integral part of people management.*

*This planning process must take place across the service and requires effective communication between HR and the government as well as inputs from a variety of stakeholders. This will adequately develop the foundation on which decisions regarding the acquisition, development and deployment of people resources must be taken.*

*Good-quality information is vital for good planning and this information must flow both from within the individual and across the relevant service wide MDAs. Workforce planning must address current and future needs, with information on outcomes feeding back into the planning cycle which is continuously reviewed.*

*Devising an appropriate strategy, policies, programmes and day-to-day activities are critical in allowing MDAs to plan accordingly. However, without practical consideration of how these activities will actually be delivered and the people needed to deliver them, even the most articulate and well thought out plans will exist on paper only.*

*All too often policy makers are overly optimistic in their expectation that once plans for reform have been devised, the process of implementation will be straightforward. Without developing the skills and competencies of the existing workforce (through strategic development, deployment or recruitment) the gap between 'as is' and 'needs to be' will not be addressed. This is where workforce planning comes in.*

*For further information on workforce planning and how it links with succession planning, development and recruitment contact your HR Director.'*

# Sample HR Policy Principles

## Workforce Planning

- The state plans to meet its capacity needs by nurturing skills within the service, managing succession, career development and getting the right balance between recruiting new staff and developing its own talent pool
- The state will ensure the right people, with the right skills are in the right place, at the right time in order to deliver the government's strategic goals
- The state will ensure that the size and composition of the service is representative, fit for purpose and affordable.

## Recruitment, Selection and Appointment

- All **recruitment** activities shall be **targeted** to attract the right people to work in the civil service, according to requirements defined by the MDAs
- **Strategic** recruitment activities shall be carried out to attract workers with specific skills or those in hard to reach areas
- All candidates shall go through a structured, **transparent** recruitment process, with job specific **selection tests** used as appropriate
- **Interview questions** shall be structured to assess how well each candidate matches the requirements outlined in the job description
- While employee referrals are welcomed, **appointment** shall be based primarily on **merit** and determined by the MDAs to fill specific skills gaps. (Employee referral is defined as an informal/formal directive to hire a named candidate)
- Newly appointed officers shall be given a **timely, structured induction** to explain the requirements of the civil service, supplemented by **on-the-job training** in the MDAs
- Officers shall be **confirmed** if and when the necessary conditions are satisfied.

## Deployment, Transfer and Secondment

- **Deployment** shall be for a minimum period of time, linked to **succession planning**
- **Transfers** shall be used where possible to fill the **needs** identified by the MDAs as part of the **workforce planning** process
- **Secondments** shall be used to fill a temporary, identified **skills gap**.

## Terms and Conditions

- Payments shall be made on a **timely** basis
- The state shall conduct regular **salary and benefit reviews**, with increases considered in line with its own salary policy
- **Non-statutory allowances** shall be afforded only where a **legitimate** claim has been identified
- **Increments** shall be added **every year at the discretion of the state**, except where it must be withheld or deferred in accordance with the disciplinary, grievance and whistle blowing policies
- There shall be **group life insurance** cover for all staff  
**Personal accident insurance** shall be provided for defined workers  
**Indemnity cover** shall be provided for health workers.

## Staff Conduct and Ethics

- **Core values throughout the service include:**
  - Impartiality
  - Professionalism
  - Accountability
  - Responsiveness to all clients
  - Inclusiveness and non-discrimination
  - Equity and affirmative access
  - Integrity
- All employees are expected to perform **diligently** and are not permitted to undertake work for any other organisation during working hours
- All **Internet use** is to serve the public. Employees are **not allowed to visit adult websites or access social network sites**
- All office equipment is to be used only for official purposes
- The **use, manufacture, distribution, sale or purchase of illegal substances on government property is strictly prohibited. Being under the influence of illegal drugs, alcohol or controlled substances will be treated as a cause for dismissal**
- Employees **must not solicit or accept any gift or any benefit, monetary or otherwise, from an individual, firm or organisation.**

## Working Hours and Leave

- **Overtime** shall be clearly **scheduled and rotated** where possible
- Officers **not eligible for overtime**, but required to work outside their normal hours from time to time, shall be permitted to **work flexibly** at a future date equivalent to the amount of additional time worked, as agreed with their superior officer
- Officers working eight hours consecutively shall be entitled to a lunch break of up to, but not more than, **one hour**
- **Annual leave** shall be considered an **entitlement** and be **planned** in advance to take place within the calendar year at a time convenient to the individual and their superior officer, with sufficient arrangements made for **cover** in line with succession planning
- **Maternity leave of 16 weeks** with full pay shall be granted to all female officers, beginning not less than four weeks from the expected delivery date
- Any **nursing female officer** shall be entitled to **two hours off work** each day for a maximum period of **six months** from the date of return from maternity leave
- Male officers responsible for their new child's care shall be entitled to a maximum of **five consecutive days paid paternity leave** per calendar year, to be taken within 10 days of the birth date of the child
- Parents **adopting** a child under 12 months of age shall be entitled to the same maternity and paternity leave rights as biological parents, when supporting legal documentation can be provided
- **Examination, sabbatical and study leaves** shall be granted on a **merit** basis where the proposed activities are directly relevant to the officers' position and **linked to career progression** and approved courses of instruction
- Officers not requested to go on official assignment, but still wishing to go on



**religious pilgrimages**, shall be required to make an application to use part of their **annual leave** for such purposes. Such leave may be granted at the discretion of the superior officer

- **Compassionate leave** shall be granted for a maximum of **two weeks** per calendar year
- Additional **leave of absence** may also be granted in appropriate circumstances subject to approval and compliance with HR guidelines.

### Disciplinary, Grievance and Whistle blowing

- A structured, fair and **transparent** disciplinary process shall be followed in all cases
- All **disciplinary** procedures shall be completed within a reasonable timeframe, except where it involves criminal cases or in exceptional circumstances
- For cases of poor performance or misconduct, agreed **review periods** may be set to reassess any required improvements. The disciplinary process shall be initiated again if these improvements are not made
- A **grievance** policy shall be introduced to allow officers to **raise issues** to their superior officers which fall outside the normal decision making appeals process e.g. harassment, victimisation, bullying and discrimination
- A **whistle blowing** policy shall be introduced to **protect** officers raising suspicions of unlawful conduct, malpractice or criminal negligence from **reprisals or victimisation**.

### Appeals

- It shall be the **entitlement** of every officer to have the opportunity to request that a decision or investigation **outcome** be **reviewed** if the officer feels there are sufficient **grounds for an appeal**
- Appeals shall be decided by the **Commission** or a delegated authority.

### Sickness and Medical Provisions

- **Every officer** working within the civil service shall be confirmed as being **medically fit** to work by a government Medical Officer
- **Medical leave** shall be granted in cases where **treatment cannot be provided** by the local government Medical Officer and adequate documentation provided to support the request
- Officers absent from work on the grounds of ill health shall be required to **notify their superior officer** not later than their expected starting time for work on their first day of absence
- Officers absent from work for **more than two days** shall be required to submit an Excuse Duty certificate (not exceeding three days in the first instance) from a government Medical Officer
- An officer not fit for duty after **six weeks** shall be **examined** by a government Medical Board
- Officers shall be allowed up to **three months paid sick leave** in a single calendar year, determined and approved by the Medical Board
- If an officer is **hospitalised** for a period of more than **three months** then the Government Medical Board will decide on the appropriate course of action.

## Career Development

- Performance shall be **actively managed** and reviewed on a **continuous basis**, with regular feedback provided by the superior officer
- Formal **discussion** and measurement of performance against agreed **objectives** shall take place twice a year, with the conversations documented in an **Annual Performance Evaluation Report (APER) form**
- As part of the disciplinary process, poor performers shall be given specific, measurable, achievable, results-oriented, time-bound (SMART) performance objectives for monthly review until improvement is shown
- Provisional **appraisal scores** shall be formally **reviewed** and challenged as necessary prior to communication to others
- **Promotion** shall be on the grounds of **eligibility, merit and vacancies**, not eligible service alone
- Written and oral promotion **exams** shall be **specific** to the expected requirements of the new role/level employees are being considered for
- **Continuous professional development (CPD)**, defined by cadre and the relevant Commission, may also form part of the promotion marks
- **Promotion decisions** shall be approved by the **Commission** or a delegated authority
- Criteria shall be established for **accelerated promotion** based on **merit** alone.

## Learning and Development

- **Training** shall be based on **need** and used to address a specific area for development
- Informal **development interventions** shall be **offered within each MDA** in addition to **formal training** e.g. MDA specific knowledge sharing workshops/briefings, structured on-the-job training schedules, off-site training, mentoring/coaching, structured deployment/secondment
- **Personal development plans (PDPs)** shall be created to provide structured **deployment goals** to develop a particular skills set or gain **targeted** experience.

## Data Management

- A **data management** policy reflects the importance of the effective management of information and data in order for the State to achieve its strategic objectives
- **Information** should be kept **up to date** and **secure**, processed correctly and **confidentially** maintained at all times.

## Diversity, Gender and Social Inclusion

- The state shall be committed to promoting the **inclusion** and **fair treatment of all people** who share the values, aspirations and work ethic of the state
- The state shall introduce a **social inclusion policy** to protect people who may currently be excluded on the grounds of ethnicity, religion, gender, indignity, physical disability, age and HIV status
- The state shall introduce **gender and disability policies** to ensure all officers are considered, consulted and invested in. The policies shall make sure that officers have the knowledge, skills and commitment to make a lasting improvement.

### Health and Safety

- The state shall promote the health as well as **physical and mental well-being** of officers performing work duties both off and on the premises
- Visitors to the state premises, such as customers, suppliers and the general public, shall be given sufficient guidance and information on all health and safety procedures.

### Leavers

- The **notice period** required for leaving a post shall be **dependent** on the circumstances of the exit
- Officers exiting the service shall be required to **repay in full** any and all outstanding **debts** to the government
- Retiring officers shall be required to attend **structured pre-retirement training programmes**
- **Redundancy** occurs where the need for a specific job(s) diminishes or ceases completely
- Suitable **consultation** shall take place before officers can be confirmed as redundant
- The **selection** of officers for redundancy shall follow a fair and **transparent** process
- **Redeployment** shall be considered where possible as an alternative to redundancy.

# SPARC HRM 2013

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## HRM Frameworks

**2C:**

HR Structures

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## Human Resources Structures

Any state wishing to introduce a new professional human resources management (HRM) model will need to make decisions about how such functions should be structured within the state government. The purpose of this document is to outline some of the potential options for consideration, discussion and development by the state.

*(Refer to the 'Service wide HRM and Individual MDAs: the Professional HRM Model of Shared Services' document in this Resource Suite series for further guidance on the concept of shared responsibility for providing human resources (HR) services between central and devolved ministries, departments and agencies (MDAs).*

This document contains information on the following:

- Defining the scope of HR reforms
- HR roles and responsibilities
- Sample HR department and unit models
- Sample HR duty posts and job descriptions.

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## HR Road Map: Potential Scope of Change

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Before embarking upon any HR reform programme the state will need to determine the desired scope of the change and map out the required short, medium and long term objectives and milestones. These decisions will have implications for the desired functions and structure of any new professional HRM departments or units and establish whether or not the state wishes to introduce a new, professional and state-specific HR cadre. Each option, examples of which are summarised in Table 1 below, will have its own advantages and disadvantages.

## Mapping HR Roles and Responsibilities

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The individual roles and responsibilities of relevant stakeholders at all levels will need to be clearly and accurately defined to avoid overlap and ensure transparent HR decision making and approvals. It will also facilitate the effective implementation of the agreed HR framework and any supporting HR policies.

Table 2 below provides a generic template with which to map, review and develop the existing HR roles and responsibilities in the state in order to outline the *specific and unique* HR mandates of the service-wide and individual MDAs. The matrix, once completed in a yes/no manner, will effectively illustrate which HRM activity is undertaken by which MDA classification. This will act as a quick reference guide for all HR officers.

(Note: 'Parent MDA' is defined as the central coordinating MDA of a given cadre or the main MDA in a given sector.)

**Table 1: Potential scope and Implications of changing the HR structure**

Option 1: Do nothing		Option 2: Quick wins		Option 3: Medium Impact		Option 4: Best Practice	
<ul style="list-style-type: none"> <li>Personnel is behind the times – focus only on paper and procedures means MDAs are not delivering</li> <li>Current Finance and Administration Departments subject to ad hoc change as planning and procurement are made more professional. Finance now moved elsewhere</li> </ul>	<ul style="list-style-type: none"> <li>Reorganise existing Finance and Administration Departments by establishing modern professional HRM and Administration Units (consider renaming as HR and Administration Dept?)</li> <li>Creation of new professional HRM duty posts which may reinforce service delivery</li> </ul>	<ul style="list-style-type: none"> <li>Reorganise existing Finance and Administration Departments to focus only on professional HRM (consider renaming HR Department?)</li> <li>Reassign non-personnel duties to relevant specialist departments/units e.g. housing, transport, office maintenance, facilities</li> </ul>	<ul style="list-style-type: none"> <li>Establish professional HRM departments</li> <li>Better service for citizens</li> <li>Potential introduction of new HR cadre which more accurately describes professional HRM work taking place in these departments</li> </ul>	<ul style="list-style-type: none"> <li>Reorganise existing Finance and Administration Departments to focus only on professional HRM (consider renaming HR Department?)</li> <li>Reassign non-personnel duties to relevant specialist departments/units e.g. housing, transport, office maintenance, facilities</li> </ul>	<ul style="list-style-type: none"> <li>Some officers may not wish to commit to a specialist career path</li> <li>Risk that opposing forces will block changes</li> </ul>	<ul style="list-style-type: none"> <li>Some officers may not wish to commit to a specialist career path</li> <li>Risk that opposing forces will block changes</li> </ul>	<ul style="list-style-type: none"> <li>Some officers may not wish to commit to a specialist career path</li> <li>Risk that opposing forces will block changes</li> </ul>
<ul style="list-style-type: none"> <li>Avoids resistance to change</li> <li>Allows poor practices to flourish and assume legitimacy</li> </ul>	<ul style="list-style-type: none"> <li>Civil service delivery agenda handicapped</li> <li>State government unable to compete on a more competitive global stage</li> <li>Focus on paper not on people means conflict, behaviour and poor attitude problems not addressed</li> <li>Talent and capability under-used</li> </ul>	<ul style="list-style-type: none"> <li>Modernisation of HR in state government HR officers better trained</li> <li>Recognition that people matter to government as much as planning and procurement</li> <li>Personnel officers given the opportunity to broaden and deepen their skills set and build capacity</li> </ul>	<ul style="list-style-type: none"> <li>Resistance from those who dislike modernisation</li> <li>Cost of HR induction and training curriculum to equip officers for new roles</li> <li>Successful implementation requires support from sensitised senior management</li> </ul>	<ul style="list-style-type: none"> <li>New, formalised professional career path</li> <li>Separation of conflated specialist and generalist duties</li> <li>HR training to recognised standards</li> </ul>	<ul style="list-style-type: none"> <li>Some officers may not wish to commit to a specialist career path</li> <li>Risk that opposing forces will block changes</li> </ul>	<ul style="list-style-type: none"> <li>Some officers may not wish to commit to a specialist career path</li> <li>Risk that opposing forces will block changes</li> </ul>	<ul style="list-style-type: none"> <li>Some officers may not wish to commit to a specialist career path</li> <li>Risk that opposing forces will block changes</li> </ul>
<ul style="list-style-type: none"> <li>Positive</li> </ul>	<ul style="list-style-type: none"> <li>Negative</li> </ul>	<ul style="list-style-type: none"> <li>Positive</li> </ul>	<ul style="list-style-type: none"> <li>Negative</li> </ul>	<ul style="list-style-type: none"> <li>Positive</li> </ul>	<ul style="list-style-type: none"> <li>Negative</li> </ul>	<ul style="list-style-type: none"> <li>Positive</li> </ul>	<ul style="list-style-type: none"> <li>Negative</li> </ul>
<ul style="list-style-type: none"> <li>State government a beacon for other states in National Civil Service transformation</li> <li>Civil service enabled to support the vision for the state</li> <li>MDAs fit for purpose</li> <li>Professional HR staff working with top management to provide staff with right skills and experience in the right jobs at the right time</li> </ul>	<ul style="list-style-type: none"> <li>Risk that undue interference and vested interest in poor 'people' practices will be stronger than the drive for modern HRM</li> </ul>						



**Table 2: Mapping HR roles and responsibilities**

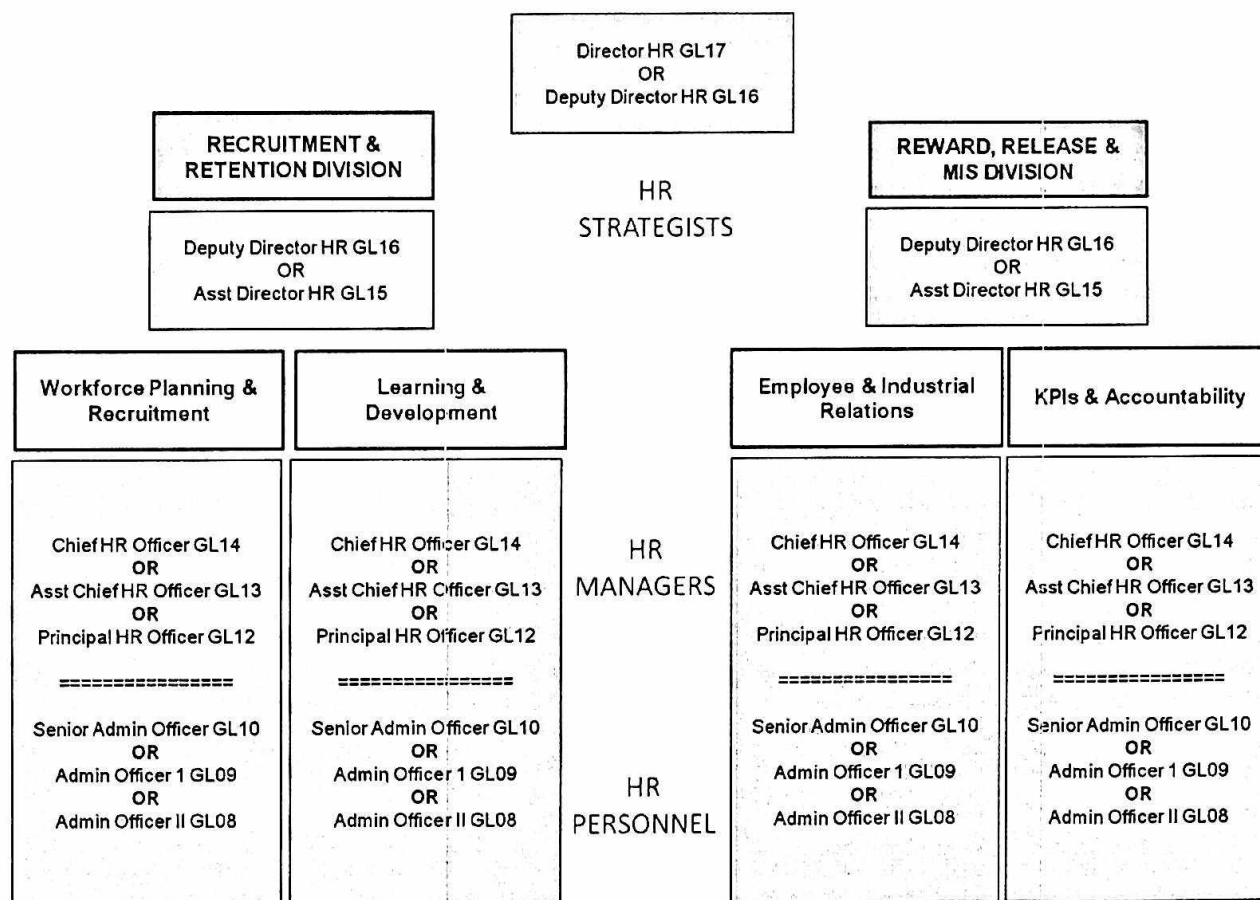
Roles and responsibilities	Definition	Service wide MDA 1 e.g. Civil Service Commission	Service wide MDA 2 e.g. Office of Head of Service	Service wide MDA 3 e.g. Establishments	Parent MDA	Individual MDA personnel management/HR board	HR officers
		Approval/Policy/Process			Coordination		Decision making
Leadership of the civil service		y/n	y/n	y/n	y/n	y/n	y/n
HRM framework		y/n	y/n	y/n			
HR management information system		y/n	y/n				
Employee surveys							
Workforce planning and job classification							
Recruitment, and induction							
Deployment and succession planning							
Career management (promotion, transfer)							
Appraisal							
Discipline							
Whistle blowing							
Grievance							
Appeals							
Industrial relations							
Training							
Leave							
Remuneration							
Benefits and welfare							
Exit							

# Sample HR Departments and Unit Models

Should the state determine that there is need to introduce new, formalised and professional HRM departments or units, there will need to be an agreed structure.

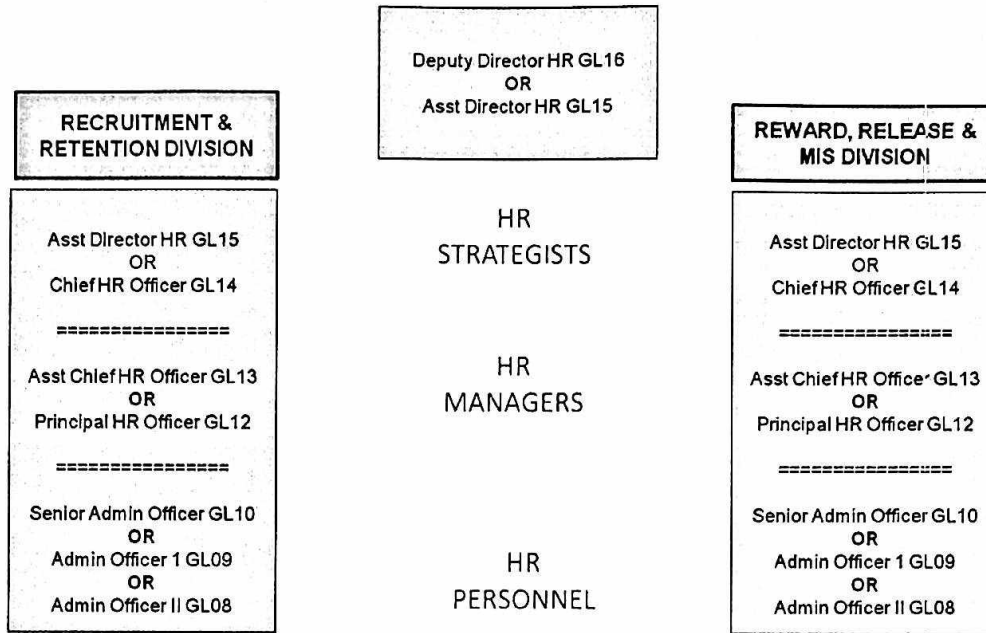
Examples of potential HR department models for large, medium and small MDAs are included here as illustrations of the structures which may be adopted, depending on the specific need of individual state civil services.

## HR Department Model: Large/Parent MDA

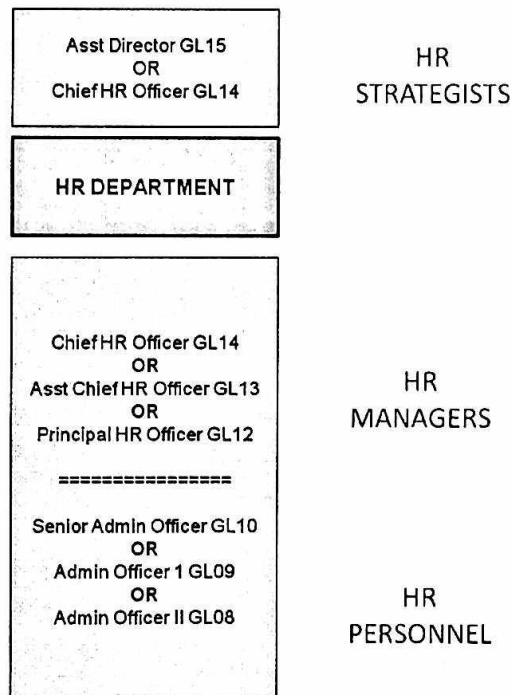


*(Refer to the 'Roles of HR Managers and Line Managers' document in this Resource Suite series for further details of the roles of HR Strategists, HR Managers and HR Personnel.)*

## HR Department Model: Medium MDA



## HR Department Model: Small MDA



## Staffing

Whether or not these restructured and formalised duty posts are performed by existing administration cadre officers or new HR cadre officers is a secondary decision for the state.

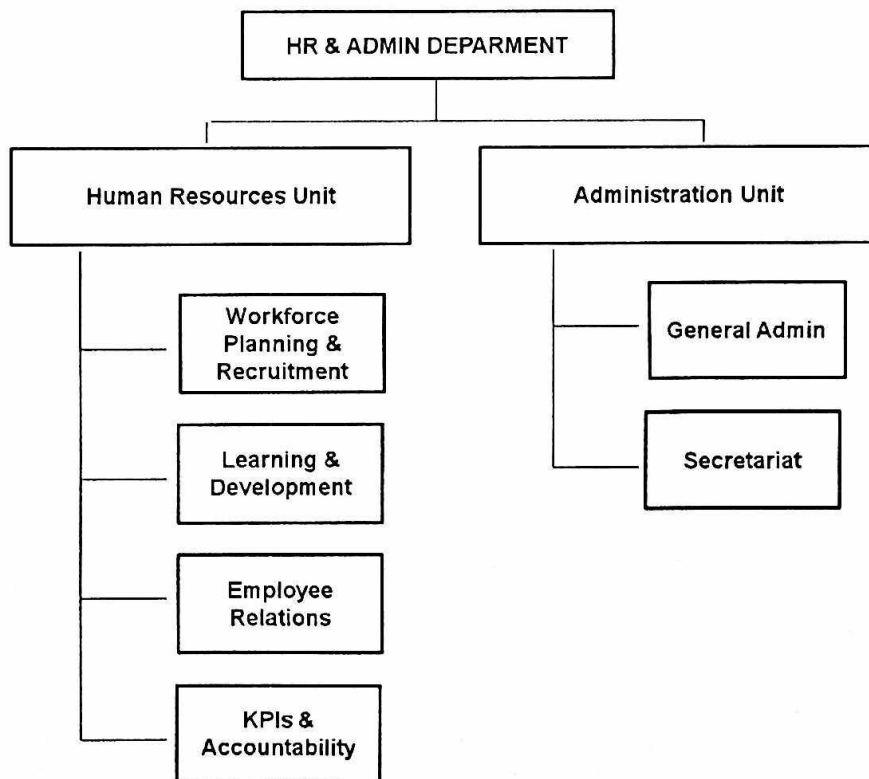
To complement the above, four new professional HRM duty posts would be created to ensure clear functional responsibility for given tasks. Each new duty post should have a detailed, supporting job description.

In large MDAs a separate officer may perform each duty post. However in small MDAs the same officer may perform each duty post. Staffing of the new duty posts would, therefore, be at the discretion of the head of the new department.

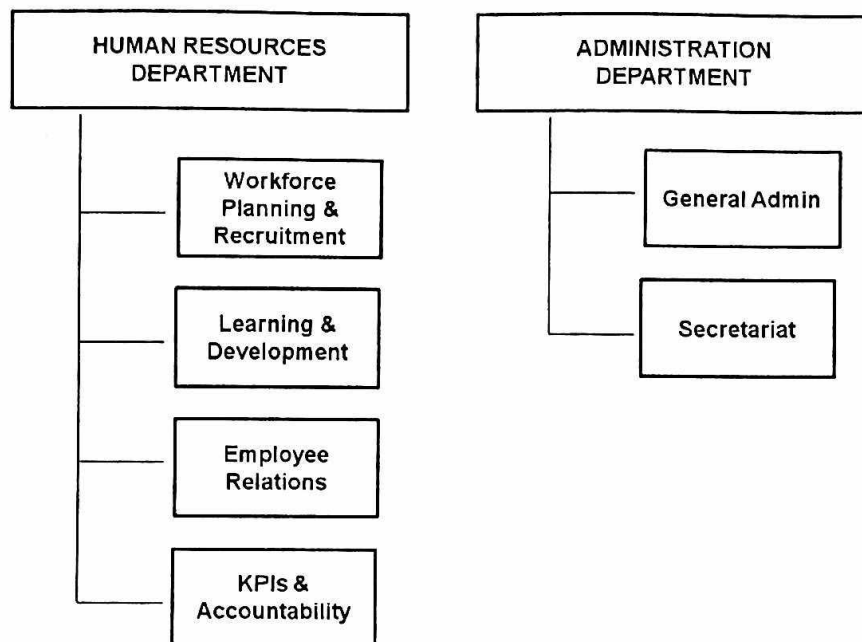
## Combined or Separate HR and Administration Departments

A further consideration for the state will be whether or not they wish to restructure the existing Finance and Administration Departments to establish: 1) a new HR and Administration Department, or 2) a separate HR Department and a separate Administration Department.

### Option 1: A New HR and Administration Department



## Option 2: Separate HR and Administration Departments



The rationale behind the separation of HR and non-personnel related administration is that the restructured and newly formalised HR and administration duties can be clearly distinguished and require vastly different skills sets.

## Sample HR Duty Posts and Job Descriptions

The models referenced above have outlined one potential model for a new professional HRM Department/Unit, with each duty post separated into clear HR Strategist, HR Manager and HR personnel responsibilities. These distinct roles are explained further below, along with a set of accompanying sample job descriptions.

However it is important to note that this is no 'one size fits all' HR model. The state must consider and develop a model tailored to its individual needs. It is critical that a pre-packaged model is, therefore, not imposed, and that the new HR structure is appropriate to a range of circumstances. There is, therefore, a need to move beyond generic models to distil the core values and attitudes that underpin successful and professional HRM, as defined by the state.

### HR Unit Overview

Professional HRM is the proactive and active management of people. It is aligned to the goals of the MDA and its future direction – anticipating, planning and matching resources to meet long term needs. It ensures that once the state government has outlined plans for the state the civil service does not lag behind, with key people measures being introduced to aid policy and strategic delivery. As such, while personnel is concerned mainly with completion of paper based day-to-day rules and procedures, professional HRM also importantly addresses attitudes, motivation, behaviour and conflict through relationship management, change management, influencing and leadership skills.

Four distinct HR duty posts have been proposed in each MDA, with their own job description. They are:

- Workforce Planning and Recruitment
- Learning and Development
- Employee Relations
- HR Measures and Accountability

In large MDAs each duty post may be performed by a separate officer. However in small MDAs each duty post may be performed by the same officer. Staffing of the new duty posts is at the discretion of the Head of the Department.

### HR Roles – HR Strategists, HR Managers and HR Personnel

For each HR duty post there are three distinct roles, dependent on the grade level of the officers and the size of the MDA in which they are serving. The roles are described below.

HR roles	Description
HR Personnel (technical administrator)	<ul style="list-style-type: none"> <li>• Helps with the administration of civil service rules and all day-to-day HR operations</li> <li>• Assists the HR Managers and Strategists with their duties as directed.</li> </ul> <p><b>Skills:</b></p> <ul style="list-style-type: none"> <li>• Computer literate with experience using Microsoft Office</li> <li>• Ability to work under supervision and to deadlines</li> <li>• Conscientious and methodical with good attention to detail</li> <li>• Service oriented with an understanding of procedures/protocol</li> <li>• Ability to manage personal work organisation and juggle priorities</li> <li>• The ability to create and analyse information</li> <li>• Resourcefulness and initiative in solving problems</li> <li>• Effective interpersonal skills and customer service orientation</li> <li>• Skills in database management and record keeping</li> <li>• Excellent organisational skills</li> <li>• Strong administrative skills</li> <li>• Trustworthy and reliable</li> <li>• Strong written and oral communication skills</li> <li>• Flexibility and willingness to learn</li> <li>• A desire to work with people</li> <li>• The ability to work as part of a team</li> </ul>

<p>HR Manager (mid-level professional)</p>	<ul style="list-style-type: none"> <li>• Acknowledged 'go to' for specific HR issues</li> <li>• Intimate knowledge of all officers in given teams/departments</li> <li>• Proactively seeks to identify HR issues and works to develop tailored HR solutions to ensure each team/department achieves its specific goals</li> <li>• Responsible for ensuring individual officers have the necessary knowledge/skills required for optimal performance.</li> </ul> <p><b>Skills:</b></p> <ul style="list-style-type: none"> <li>• Ability to work without supervision to identify problems/challenges</li> <li>• The ability to communicate at all levels</li> <li>• Proven relationship building skills both within/outside the department</li> <li>• Service oriented with understanding of procedures/protocol</li> <li>• Ability to juggle priorities</li> <li>• Demonstrated resourcefulness and initiative in solving problems</li> <li>• Effective interpersonal skills and customer service orientation</li> <li>• Ability to work with various departments/units to foster teamwork</li> <li>• Demonstrated discretion and ability to maintain confidentiality at all times</li> <li>• Employee champion and strategic partner</li> <li>• Proactively contributes to change management/team development</li> <li>• Actively monitors compliance with all HR policies, civil service rules and HR operational guidelines</li> <li>• Sensitivity and confidence in handling conflict.</li> </ul>
<p>HR Strategist (senior professional)</p>	<ul style="list-style-type: none"> <li>• Guides and manages the overall provision of HR services for the entire MDA</li> <li>• Builds capacity and advises on HR strategies and specific tailoring of HR policies to meet MDA needs and ensures that all HR functions are operating to an agreed standard</li> <li>• Originates and leads HR practices that provide an employee-oriented, high performance culture which emphasises empowerment, quality, productivity and standards, goal attainment, and the recruitment and ongoing development of a superior workforce.</li> </ul> <p><b>Skills:</b></p> <ul style="list-style-type: none"> <li>• Strategic insight into all government, MDA and HR activities</li> <li>• Excellent interpersonal and communication skills</li> <li>• Diplomatic and negotiation skills</li> <li>• Tact, and the ability to deal with difficult situations</li> <li>• Numerical and budgeting skills</li> <li>• In depth knowledge of relevant HR policies, civil service rules and HR operational guidelines</li> <li>• Ability to balance long/short term priorities and plan for tomorrow</li> <li>• Ability to communicate at all levels and create an environment of</li> </ul>

	<p>continuous learning</p> <ul style="list-style-type: none"> <li>• Demonstrated ability to lead and develop HR officers</li> <li>• Ability to foster teamwork across the department and identify more collaborative ways of working</li> <li>• Close working relationships with all department/unit heads in the MDA</li> <li>• Ability to serve as a valuable member of the MDA Senior Management Board to provide people management direction, consistent with the overall priorities of the MDA and goals of each respective department.</li> </ul>
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### General HR Competencies

All HR officers are expected to demonstrate the following behaviours in all aspects of their work, as well as completing their basic technical and operational tasks. These competencies will be used to review, manage, promote and train HR staff.

- Strategic thinking
- People management and leadership
- Value for money and resource awareness
- Personal drive and effectiveness
- Professional behaviour
- Results achievement
- Continuous learning
- Intuitive/creative thinking
- 'Customer focus'
- Communication

### Workforce Planning and Recruitment Duty Post

#### HR Strategist Responsibilities

<b>Workforce Planning and Recruitment HR Strategist Duties (examples only)</b>
<p><b>Job evaluation/classification:</b></p> <ul style="list-style-type: none"> <li>• Determine whether posts should be created or suppressed</li> <li>• Conduct a job analysis to identify recruitment needs and determine how effectively work is organised amongst existing staff.</li> </ul> <p><b>Workforce planning:</b></p> <ul style="list-style-type: none"> <li>• Approve the annual workforce plan for the MDA, and monitor progress against resulting recruitment, resourcing, career development and training, and deployment and succession planning objectives</li> <li>• Use the workforce plan as the basis for the preparation of an annual hiring plan, to be updated quarterly. Track which new positions have been approved, which hires are in progress, which positions and been filled and which have been put on hold.</li> </ul>



**Recruitment:**

- Work with the HR Measures and Accountability team to produce a recruitment scorecard which measure how efficient the recruitment process is and how the recruitment process can be improved to better meet the needs of the MDA
- Develop an MDA specific recruitment strategy in accordance with the skills gaps identified in the workforce plan
- Develop working relationships with relevant colleges/professional bodies to aid recruitment and coordinate and implement recruitment activities
- Regularly review the hiring plan
- Conduct continuous process and policy reviews with submissions to the service wide MDAs and recommendations for improvements as appropriate
- Establish a recognisable 'employer of choice' reputation for the MDA.

**Selection:**

- Coordinate relevant specialist selection tests, in conjunction with service wide MDAs
- Determine which staff should be recruited to the MDA based on a formal review of all selection test scores and feedback for each candidate
- Ensure all candidates go through due process and are assessed objectively.

**Appointment:**

- Forward letters to the Head of Service for salary approvals
- Seek approval for re-engagement/contract extensions, appointments and permission to advertise posts outside the civil service as appropriate.

**Interns/National Youth Service Corps (NYSC):**

- Establish a targeted and formally assessed internship programme to create a future pipeline of talent and provide interns/NYSC students with an opportunity to experience first-hand what a career in the civil service entails.

**Induction:**

- Determine an induction strategy to ensure officers are provided up front with the information they need to start working as quickly and effectively as possible.

**Deployment/transfers:**

- Liaise with the service wide MDAs to make skills based deployment and secondment recommendations/requests for the MDA, consistent with the workforce plan
- Issue memos on internal postings
- Seek approval for internal redeployment that facilitates tailored skills development.

**Ongoing professional development/learning:**

- Establish a strategy for encouraging continuous ongoing professional development of Workforce Planning and Recruitment HR Managers
- Attend local professional meetings and membership development meetings
- Establish methods and procedures for evaluation, measurement and reporting.

Person specification (examples only)			
<b>Education (essential):</b>	<ul style="list-style-type: none"> <li>• Bachelor's degree</li> </ul>	<b>Education (preferred):</b>	<ul style="list-style-type: none"> <li>• HR related qualification</li> <li>• Member of Chartered Institute of Personnel Management (CIPM)</li> </ul>
<b>Experience (essential):</b>	<ul style="list-style-type: none"> <li>• Completion of HR induction Training</li> </ul>	<b>Experience (preferred):</b>	<ul style="list-style-type: none"> <li>• Experience working as an HR officer in service wide MDAs</li> <li>• Change management experience</li> <li>• Experience working in all HR duty posts</li> </ul>

### HR Manager Responsibilities

Workforce Planning and Recruitment HR Manager Duties (examples only)
<p><b>Job evaluation/classification:</b></p> <ul style="list-style-type: none"> <li>• Classify and grade posts</li> <li>• Draft job descriptions for new/restructured posts.</li> </ul> <p><b>Workforce planning:</b></p> <ul style="list-style-type: none"> <li>• Develop, manage and track progress against the workforce plan</li> <li>• Determine whether a post should be filled by a temporary, fixed term, contract or permanent member of staff</li> <li>• Create budget proposals for additional new hires (outside pre-approved headcount).</li> </ul> <p><b>Recruitment:</b></p> <ul style="list-style-type: none"> <li>• Work with hiring/team managers to determine their recruitment needs and conduct regular follow-up meetings to determine the effectiveness of recruitment plans</li> <li>• Collect feedback from managers on quality of recruited officers and hiring process</li> <li>• Coordinate and implement in-house and external recruitment activities</li> <li>• Lead the creation of a recruiting and interviewing plan for each open position</li> <li>• Research and recommend new sources for active recruiting</li> <li>• Build networks to find qualified candidates e.g. alumni networks.</li> </ul> <p><b>Selection:</b></p> <ul style="list-style-type: none"> <li>• Interview staff based on required skills/experience outlined in the job description</li> <li>• Administer any MDA specific selection tests as required</li> <li>• Deliver interview/assessment training to relevant managers</li> <li>• Collate selection scores for each candidate for comparison and discussion.</li> </ul> <p><b>Appointment:</b></p> <ul style="list-style-type: none"> <li>• Determine which officers should be appointed based on collated scores/feedback</li> <li>• Ensure the appointments list is approved by relevant parties</li> <li>• Liaise with the service wide MDAs to ensure that medical exams are completed and identify candidates with disabilities who may require additional support.</li> </ul> <p><b>Interns/NYSC:</b></p> <ul style="list-style-type: none"> <li>• Actively manage all interns and gather feedback on their experiences.</li> </ul>

**Induction:**

- Collect feedback from managers on the quality of newly deployed officers and encourage them to set clear objectives for assessment in the next appraisal round
- Design and update information packages for newly deployed officers to educate them on the functions and priorities of the MDA
- Organise and facilitate an MDA specific induction courses for newly deployed officers
- Ensure managers are fully aware of their induction roles and responsibilities.

**Deployment/transfers:**

- Review the skills/competency gaps in the MDA and determine the appropriate level and cadre of vacancies for deployment
- Organise officer deployments/secondments and liaise with relevant team managers
- Prepare deployment documents/requests which must include sufficient skills based rationale based on the succession planning priorities of the MDA
- Run induction workshops for newly converted/deployed officers.

**Ongoing professional development/learning:**

- Network with other recruitment industry specialists to learn best practices
- Increase awareness of recruitment best practices, including in-house training for those involved in the selection and appointment process
- Work towards a CIPM professional qualification.

**Person specification (examples only)**

<b>Education (essential):</b>	• Bachelor's degree	<b>Education (preferred):</b>	• HR related qualification • Member of Chartered Institute of Personnel Management (CIPM)
<b>Experience (essential):</b>	• Completion of HR induction training	<b>Experience (preferred):</b>	• Experience working as an HR officer in service wide MDAs • Experience working in at least two HR duty posts

**HR Personnel Responsibilities****Workforce Planning and Recruitment HR Manager Duties (examples only)****Job evaluation/classification:**

- Distribute/collect job evaluation forms and obtain information about job duties
- Collect materials/records as needed for workforce planning activities.

**Workforce planning:**

- Collect information for the personnel budget
- Prepare and present information from the nominal role
- Collect data on where qualified and skilled candidates have come from for reference and review e.g. school, university and company.

**Recruitment:**

- Collate recruitment data and information.

**Selection:**

- Prepare materials for MDA specific selection assessments
- Collect and record selection scores and feedback on each candidate
- Organise/coordinate interview schedules in conjunction with the service wide MDAs.

**Appointment:**

- Prepare selection materials for candidate review meetings
- Check that proposed candidates meet the requirements for appointment
- Update the nominal role, workforce and hiring plan once appointment approved
- Draft and print appointment letters
- Collect signed letters of appointment
- Deal with the re-engagement of retired officers
- Arrange a suitable venue every quarter/month for MDA specific induction
- Enter and update details of newly deployed officers in the HR management information system (MIS) database as appropriate
- Liaise with the service wide MDAs to assist in preparing and sending offer packages and employee induction packs to newly appointed officers
- Organise recruitment of temporary staff and information technology students
- Assist in drafting rejection letters based on the selection feedback collected.

**Interns/NYSC:**

- Ensure personal information and details of placements are kept up to date in an intern log.

**Induction:**

- Collect and scan personnel and assignment input forms/appointment letters for easy reference
- Determine when officers become eligible for the confirmation
- Organise annual confirmation exams
- Organise attendees for service wide and MDA specific induction
- Track and record how many times an officer has passed or failed an exam.

**Deployment/transfers:**

- Check whether candidates meet the skills requirements for transfer/redeployment
- Collect documentation of newly deployed officers for personnel files and update in the nominal role/HR MIS database
- Confirm availability of vacancies
- Cross check officers cadre prior to deployment to ensure not being deployed to a department outside their professional cadre
- Draft secondment letters
- Issue release letters
- Prepare and issue Assumption of Duty letters
- Issue circulars on public holidays
- Prepare detailed documentation on deployment recommendations for the service wide MDAs
- Provide information for deployment/transfer circulars
- Record and monitor the duration of secondments

- Ensure adequate approvals are obtained prior to secondment
- Track and monitor deployments/secondments to make sure all moves take place within two months of approval
- Write memos to Parent Agencies regarding newly deployed officers.

**Ongoing professional development/learning:**

- Make suggestions for process improvements and efficiencies to HR Managers.

**Other:**

- Assist with the day-to-day efficient operation of the HR unit
- Deal with ad hoc assignments and collect information as required.

**Person specification (examples only)**

<b>Education (essential):</b>	<ul style="list-style-type: none"> <li>• Bachelor's degree</li> </ul>	<b>Education (preferred):</b>	<ul style="list-style-type: none"> <li>• HR related qualification</li> <li>• Member of Chartered Institute of Personnel Management (CIPM)</li> </ul>
<b>Experience (essential):</b>	<ul style="list-style-type: none"> <li>• Completion of HR induction training</li> </ul>	<b>Experience (preferred):</b>	<ul style="list-style-type: none"> <li>• Administration/service based work experience</li> <li>• Work experience in HR, Industrial Relations, Training or Recruitment</li> <li>• Experience working in MDAs of different sizes or in different sectors</li> </ul>

**Learning and Development Duty Post**  
HR Strategist Responsibilities

**Learning and Development HR Strategist Duties (examples only)**

**Appraisal:**

- Review and analyse the development needs of confidential appraisal reports for those at GL15-17, in order to then create personalised personnel development plans
- Submit a bi-annual appraisal summary report to the Permanent Secretary of all provisional appraisal grades in each department for review and discussion with Department Heads prior to communication to individual officers
- Prepare a bi-annual report detailing the development needs, top performers, poor performers, etc. in each department, with specific recommended actions
- Review the MDAs overall objectives and translate these into relevant, specific, measurable, achievable, results-oriented, time-bound (SMART) objectives and targets for each department
- Communicate and monitor specific targets/objectives for individual teams with measurable outputs to ensure accountability
- Review and challenge annual performance evaluation reports (APERs), in conjunction with HR Managers.

**Promotion:**

- Collate and formally review promotion nominations
- Work with the HR Measures and Accountability team to determine the percentage and profile of eligible candidates nominated for promotion
- Ensure promotion decisions are approved by the service wide MDAs as required and that all decisions are made on the basis of merit.

**Career development:**

- Create a development strategy to ensure key senior individuals are given relevant exposure/experience prior to promotion
- Actively develop and build the capacity of future leaders and design retention programmes for key groups of officers, based on the succession plans.

**Succession planning:**

- Identify linchpin roles in each department and the skills needed to perform those roles
- Certify that succession plans are consistent with the proposed strategic objectives of the department and MDA, as well as the workforce plan.

**Talent management:**

- Ensure the sustainable availability of top talent
- Work with HR Managers to design and monitor action plans from talent reviews
- Produce high level talent mapping reports for discussion with Department Heads.

**Learning:**

- Approve the capacity building/learning strategies for the MDA and regularly monitor the completion of agreed actions
- Prioritise proposed in-house learning interventions based on the strategic objectives of the MDA and resources available.

**Training:**

- Work to create a training strategy, vision and action plan to implement dynamic learning systems contributing to the success of the MDA
- Identify current and future MDA training needs and develop a coordinated learning and development strategy to meet these needs
- Develop and deliver management information reports to track and benchmark learning and development participation, costs, benefits, etc.

**Ongoing professional development/learning:**

- Establish a strategy for encouraging continuous ongoing professional development of the Learning and Development HR Managers
- Develop learning and development contacts within the industry
- Establish procedures for delivery, evaluation, measurement and reporting.

<b>Person Specification: (Examples only)</b>			
<b>Education (essential):</b>	<ul style="list-style-type: none"> <li>• Bachelor's degree</li> </ul>	<b>Education (preferred):</b>	<ul style="list-style-type: none"> <li>• HR related qualification</li> <li>• Member of Chartered Institute of Personnel Management (CIPM)</li> </ul>
<b>Experience (essential):</b>	<ul style="list-style-type: none"> <li>• Completion of HR induction training</li> </ul>	<b>Experience (preferred):</b>	<ul style="list-style-type: none"> <li>• Experience working as an HR officer in service wide MDAs</li> <li>• Change management experience</li> <li>• Experience working in all HR duty posts</li> </ul>

### HR Manager Responsibilities

<b>Learning and Development HR Manager Duties (examples only)</b>
<p><b>Appraisal:</b></p> <ul style="list-style-type: none"> <li>• Plan activities for the appraisal round</li> <li>• Design and conduct bi-annual in-house appraisal training for all managers conducting appraisals</li> <li>• Work with managers to determine appropriate provisional APER scores for each officer, for discussion with Department Heads prior to communication</li> <li>• Review APER forms once the appraisal conversation has taken place to ensure they accurately reflect performance and that development needs are identified</li> <li>• Work with managers to develop tailored performance improvement plans for low performing officers</li> <li>• Liaise with key managers prior to the appraisal feedback conversation to provide guidance on delivering difficult messages, timelines, process details and step-by-step completion.</li> </ul> <p><b>Promotion:</b></p> <ul style="list-style-type: none"> <li>• Determine which officers are eligible for promotion</li> <li>• Work with team leaders to review the list of eligible promotion candidates and agree who should be nominated</li> <li>• Cross check promotion candidates against available vacancies</li> <li>• Liaise with external consultants re-marking promotion exams and relevant skills based content</li> <li>• Prepare structured, tailored promotion interview questions</li> <li>• Establish an MDA mentoring programme, acting as the primary contact for officers and managers to help officers develop their skills prior to promotion.</li> </ul> <p><b>Career development:</b></p> <ul style="list-style-type: none"> <li>• Provide information and assistance to officers about career development and careers in the civil service</li> <li>• Advise managers on the appraisal, promotion, deployment, talent mapping and succession planning processes</li> <li>• Actively manage the career progression of top talent/high performers.</li> </ul>

**Succession planning:**

- Conduct succession planning exercises with key team leaders
- Facilitate formal performance reviews and succession planning, thus identifying career planning opportunities and ensuring the sustainable availability of top talent for discussion with the Workforce Planning and Recruitment team.

**Talent management:**

- Work with team managers to they conduct regular talent reviews
- Ensure talent maps are used to facilitate agreed action plans for active implementation, in conjunction with the officer's manager.

**Learning:**

- Design in-house learning interventions in conjunction with Department Heads.

**Training:**

- Research and recommend a series of suitable in-house learning programmes which align with the MDAs' strategic objectives and employees' needs
- Determine training needs that can only be met by external training and submit recommendations to the Ministry of Establishment, Training and Pensions with a skills based strategic justification
- Design specialist in-house professional training in conjunction with the relevant managers where appropriate
- Evaluate the effectiveness of in-house training courses and learning interventions
- Provide guidance regarding training and development practices, policies and procedures to team leaders.

**Ongoing professional development/learning:**

- Network with other learning and development industry specialists to learn best practice
- Increase awareness of appraisal, promotion, learning and development best practices, including in-house capacity building and training where relevant
- Work towards a CIPM professional qualification.

**Person specification (examples only)**

<b>Education (essential):</b>	<ul style="list-style-type: none"> <li>• Bachelor's degree</li> </ul>	<b>Education (preferred):</b>	<ul style="list-style-type: none"> <li>• HR related qualification</li> <li>• Member of Chartered Institute of Personnel Management (CIPM)</li> </ul>
<b>Experience (essential):</b>	<ul style="list-style-type: none"> <li>• Completion of HR induction training</li> </ul>	<b>Experience (preferred):</b>	<ul style="list-style-type: none"> <li>• Experience working as an HR officer in service wide MDAs</li> <li>• Experience working in at least two HR duty posts</li> </ul>



## HR Personnel Responsibilities

### Learning and Development HR Personnel Duties (examples only)

#### Appraisal:

- Chase outstanding APER forms
- Check all staff are appraised on a bi-annual basis with records of their work, conduct and capabilities
- Ensure that the APER forms are completed by officers in a timely fashion and in line with the deadlines set
- Forward copies of the relevant APER forms to the service wide MDAs for information as required
- Record which staff on probation have had progress reports
- Send probation progress reports to the service wide MDAs
- Track which officers have and have not received their annual appraisal and highlight accordingly to the HR Manager
- Support and manage all appraisal records
- Keep an up to date database of appraisal scores for all active officers.

#### Promotion:

- Submit staff appraisals to the HR Managers for discussion with Heads of Department and to inform promotion decisions
- Check eligibility of promotion candidates
- Check promotion nominations against the Schemes of Service and job description for the role for which they are being considered
- Prepare materials for promotion nomination review meetings and record proceedings
- Arrange promotion exams and interviews
- Collate historical APER forms for promotion candidates
- Collect all relevant materials for each promotion candidate: interview notes, appraisals, personal data/service record
- Monitor/record promotion exam scores and interview feedback
- Draft promotion letters
- Collect signed promotion letters
- Input promotion changes in HR MIS database
- Issue promotion and advancement letters.

#### Career development:

- Create additional expenditure proposals for eligible promotion, advancement and conversion candidates
- Calculate the number of available vacancies to fill
- Issue advancement and conversion letters
- Keep career details of all active officers in the MDA up to date.

#### Succession planning:

- Provide regular reports as instructed by the HR Manager
- Ensure high standards of confidentiality to safeguard sensitive information
- Maintain the succession plan for each department.

**Talent management:**

- Type up HR Manager talent maps and prepare summary talent map reports.

**Learning:**

- Maintain an in-house learning database of capacity building interventions and participants.

**Training:**

- Forward nominal role to Ministry of Establishments, Training and Pensions
- Collect the New Year training programme
- Update personnel files with training records
- Provide administrative support to in-house training teams including organising meetings, events and training sessions.

**Ongoing professional development/learning:**

- Make suggestions for process improvements and efficiencies to HR Managers.

**Other:**

- Assist with the day-to-day efficient operation of the HR unit
- Deal with ad hoc assignments and collect information as required.

**Person specification (examples only)**

<b>Education (essential):</b>	<ul style="list-style-type: none"> <li>• Bachelor's degree</li> </ul>	<b>Education (preferred):</b>	<ul style="list-style-type: none"> <li>• HR related qualification</li> <li>• Member of Chartered Institute of Personnel Management (CIPM)</li> </ul>
<b>Experience (essential):</b>	<ul style="list-style-type: none"> <li>• Completion of HR induction training</li> </ul>	<b>Experience (preferred):</b>	<ul style="list-style-type: none"> <li>• Administration/service based work experience</li> <li>• Work experience in HR, Industrial Relations, Training or Recruitment</li> <li>• Experience working in MDAs of different sizes or in different sectors</li> </ul>

**Employee Relations Duty Post****HR Strategist Responsibilities****Employee Relations HR Strategist Duties (examples only)****Appeals:**

- Set internal process completion targets/benchmarks and monitor response rates
- Review the number of appeals annually and make recommendations as to how this number can be reduced and/or underlying issues addressed.

**Discipline:**

- Actively encourage HR Managers to identify and informally address all employee relations matters before the initiation of a formal process becomes necessary
- Ensure a fair and transparent disciplinary process is followed at all times, with no undue interference or influence

- Record service wide MDA comments on disciplinary cases and share lessons learned
- Establish a series of metrics to track disciplinary cases, response times and outcomes
- Hold workshops across departments to explain the code of discipline and how to effectively manage staff issues, including conflict in the workplace, personal disagreements, poor performance, misconduct, the importance of consistent application of HR policies and handling difficult situations.

**Grievance:**

- Ensure a fair and transparent grievance process is followed at all times
- Ensure all grievances are managed and investigated appropriately, with no undue interference or influence.

**Whistle blowing:**

- Ensure a fair and transparent whistle blowing investigation process is followed at all times, with no undue interference or influence
- Conduct thorough whistle blowing investigations
- Share lessons learned/findings with HR Managers as appropriate.

**Sickness and medical:**

- Set internal targets/benchmarks and monitor response rates
- Hold workshops with managers across departments to explain how to manage sickness.

**Absence/leave:**

- Ensure all leave applications are approved and consistently applied in accordance with the relevant HR policy
- Ensure all leave processes uphold the key diversity, gender and social inclusion principles outlined in the HR policies.

**Health and safety:**

- Promote/develop a positive and proactive health and safety culture within the MDA
- Oversee the maintenance of effective systems to monitor health and safety.

**Establishment matters:**

- Ensure personal data is stored securely
- Continuously review data security access for all officers.

**Staff welfare:**

- Consider the introduction of an annual MDA survey, with measurable findings and trends on staff satisfaction, attitudes, motivation, etc.
- Initiate projects as appropriate to educate, investigate, assess and improve working relationships and efficiencies across the MDA.

**Ongoing professional development/learning:**

- Establish a strategy for encouraging continuous ongoing professional development of Employee Relations HR Managers

- Develop staff welfare contacts within the industry
- Establish standardised methods and procedures for delivery, evaluation, measurement and reporting.

**Person specification (examples only)**

<b>Education (essential):</b>	• Bachelor's degree	<b>Education (preferred):</b>	• HR related qualification • Member of Chartered Institute of Personnel Management (CIPM)
<b>Experience (essential):</b>	• Completion of HR induction training	<b>Experience (preferred):</b>	• Experience working as an HR officer in service wide MDAs • Change management experience • Experience working in all HR duty posts

**HR Manager Responsibilities**

**Employee Relations HR Manager Duties (examples only)**

**Appeals:**

- Investigate staff appeals/complaints
- Monitor compliance of appeals process with timelines and guidelines.

**Discipline:**

- Coach managers and officers through the disciplinary process
- Draft or send disciplinary queries and track responses
- Present disciplinary cases to the relevant Board
- Proactively address faults/complaints cited by an officer's superior
- Work with Department Heads to monitor and manage informal performance issues
- Enforce the fair and consistent application of government policies and compliance.

**Grievance:**

- Record and investigate all grievances in accordance with due process.

**Whistle blowing:**

- Record and support the HR Strategist in the investigation of all whistle blowing claims.

**Sickness and medical:**

- Work with managers to identify officers taking frequent sick days
- Manage sick cases with recommendations to see the Medical Board made as needed.

**Absence/leave:**

- Plan leave requests and create a holiday calendar for each team head
- Endorse leave applications and approvals
- Monitor and highlight leave issues to superiors
- Ensure the fair and consistent application of the HR Leave Policies.

**Health and safety:**

- Ensure all officers understand their health and safety obligations
- Take a lead in responding to incidents, and take responsibility for robust reviews of all incidents so that preventative measures are identified and implemented.

**Establishment matters:**

- Review change of name, correction of date of birth requests and ensure the HR personnel update these in the relevant systems.

**Staff welfare:**

- Gather information on workers' feelings and attitudes about factors that affect worker morale, motivation and efficiency
- Actively engage with managers to identify and anticipate HR needs
- Support the HR Strategist with relevant projects.

**Ongoing professional development/learning:**

- Network with other employee relations industry specialists to learn best practice
- Increase awareness of how to manage people, sickness, informal performance issues and the disciplinary process, including in-house training where relevant.

**Person specification (examples only)**

<b>Education (essential):</b>	<ul style="list-style-type: none"> <li>• Bachelor's degree</li> </ul>	<b>Education (preferred):</b>	<ul style="list-style-type: none"> <li>• HR related qualification</li> <li>• Member of Chartered Institute of Personnel Management (CIPM)</li> </ul>
<b>Experience (essential):</b>	<ul style="list-style-type: none"> <li>• Completion of HR Induction Training</li> </ul>	<b>Experience (preferred):</b>	<ul style="list-style-type: none"> <li>• Experience working as an HR officer in service wide MDAs</li> <li>• Experience working in at least two HR duty posts</li> </ul>

**HR Personnel Responsibilities****Employee Relations HR Personnel Duties (examples only)****Appeals:**

- Collate and record appeals/petitions (appointment, promotion, transfer, discipline, sick leave, allowances, pensions etc.)
- Check the timing and content of the appeal to ensure its validity as defined by the appeals guidelines.

**Discipline:**

- Calculate funds owed to reinstated suspended employees
- Calculate termination payments in lieu when necessary
- Track and record the disciplinary process from start to finish in a disciplinary tracker
- Calculate the period of notice required for terminated employees
- Collate and prepare misconduct materials for review by the service wide MDAs
- Collect and submit misconduct records

- Confirm the grade level of those nominated for disciplinary action
- Formally track and record disciplinary action/decisions
- Provide administrative support to the Tribunal of Inquiry
- Track and calculate the length of employees' suspensions
- Frequently inspect work stations/offices to ensure they are up to the required standard.

**Grievance:**

- Maintain a grievance tracker
- Run quarterly grievance reports.

**Whistle blowing:**

- Maintain a whistle blowing tracker
- Run annual whistle blowing reports.

**Sickness and medical:**

- Track sick leave and how many days each officer has taken
- Collect sick leave certificates
- Highlight to HR Managers those employees who have taken more than the maximum number of paid sick days in any 12 month period
- Monitor and record whether a medical exam has been completed prior to appointment
- Monitor prolonged absence
- Receive and record Excuse Duty Certificates, Light Duty Certificates or Medical Certificates of Treatment
- Record and track medical absence and those on long term sick
- Issue sick leave letters.

**Absence/leave:**

- Calculate pro-rated annual leave
- Ensure leave is authorised by a superior officer
- Issue leave and assumption of duty letters
- Complete Resumption from Leave papers
- Recommend officers for annual leave
- Prepare leave approvals
- Track all forms of leave (e.g. annual leave, deferred leave, exam leave, leave of absence, maternity leave, etc.).

**Health and safety:**

- Keep and maintain an in-house health and safety tracker of all reported cases.

**Establishment matters:**

- Record and forward applications for change of name
- Regularly update the nominal role

- Work in conjunction with the HR Measures and Accountability team to update records of service/personnel records.

**Ongoing professional development/learning:**

- Make suggestions for process improvements and efficiencies to HR Managers.

**Other:**

- Assist with the day-to-day efficient operation of the HR unit
- Deal with ad hoc assignments and collect information as required.

**Person specification (examples only)**

<b>Education (essential):</b>	<ul style="list-style-type: none"> <li>• Bachelor's degree</li> </ul>	<b>Education (preferred):</b>	<ul style="list-style-type: none"> <li>• HR related qualification</li> <li>• Member of Chartered Institute of Personnel Management (CIPM)</li> </ul>
<b>Experience (essential):</b>	<ul style="list-style-type: none"> <li>• Completion of HR induction training</li> </ul>	<b>Experience (preferred):</b>	<ul style="list-style-type: none"> <li>• Administration/service based work experience</li> <li>• Work experience in HR, Industrial Relations, Training or Recruitment</li> <li>• Experience working in MDAs of different sizes or in different sectors</li> </ul>

**Key Performance Indicators and Accountability Duty Post**

**HR Strategist Responsibilities**

**HR Measures and Accountability HR Strategist Duties (examples only)**

**Leavers and pensions:**

- Review pension activities/process cycle
- Notify payroll to defer or withhold increments approved by the Permanent Secretary
- Liaise with the Employee Relations team to manage terminations.

**Payroll:**

- Ensure secure and accurate payment of funds
- Monitor data security
- Produce monthly and quarterly reports for the Permanent Secretary tracking MDA actual spend and against budget and identify high and low spend areas.

**Benefits:**

- Ensure all staff are educated about the benefits available through in-house training sessions and workshops organised on a regular basis.

**Gender and social inclusion:**

- Develop and implement an overarching gender and social inclusion strategy for the MDA, including specific measures and an agreed action plan
- Establish a Gender and Social Inclusion Steering Group with assigned responsibilities.

**HR MIS:**

- Keep a log of required HR data for named stakeholders to ensure senior managers are provided with the info needed to make better decisions about their people
- Monitor response times to report requests
- Organise regular data cleansing exercises to ensure all data held internally is accurate and up to date
- Ensure key individuals have access to the necessary systems and data security clearance as well as monitoring and training.

**KPIs:**

- In conjunction with Heads of Department develop a series of HR scorecards and agreed Key Performance Indicators (KPIs) for each department and for the MDA as a whole to monitor and track progress in key strategic areas.

**Reporting:**

- Assist senior managers in report analysis and in determining, owning and tracking agreed actions.

**Registry:**

- Ensure a reliable and easily accessible data management framework is put in place to ensure all personnel documents can be easily accessed.

**Monitoring and evaluation:**

- Work with the Planning Unit to benchmark HR services provided.

**Employee surveys:**

- Supervise the development, implementation, analysis and action planning of citizen/employee perception surveys.

**Ongoing professional development/learning:**

- Establish a strategy for encouraging continuous ongoing professional development of HR Measures and Accountability HR Managers
- Establish standardised methods and procedures for delivery, evaluation, measurement and reporting.

**Person specification (examples only)**

<b>Education (essential):</b>	<ul style="list-style-type: none"> <li>• Bachelor's degree</li> </ul>	<b>Education (preferred):</b>	<ul style="list-style-type: none"> <li>• HR related qualification</li> <li>• Member of Chartered Institute of Personnel Management (CIPM)</li> </ul>
<b>Experience (essential):</b>	<ul style="list-style-type: none"> <li>• Completion of HR induction training</li> </ul>	<b>Experience (preferred):</b>	<ul style="list-style-type: none"> <li>• Experience working as an HR officer in service wide MDAs</li> <li>• Change management experience</li> <li>• Experience working in all HR duty posts</li> </ul>



## HR Manager Responsibilities

### HR Measures and Accountability HR Manager Duties (Examples only)

#### Leavers and pensions:

- Action the quarterly distribution of welfare packages to selected officers 60+ years of age
- Calculate whether someone is of the correct retirement age
- Complete bi-annual verification exercise
- Respond to information requests/complaints
- Calculate tax increments
- Advise officers due to retire of the retirement and pension's process, their entitlement and obligations.

#### Payroll:

- Run monthly reports to reconcile nominal role, HR MIS and payroll data
- Prepare monthly/quarterly expenditure returns and capital
- Prepare monthly/quarterly revenue return
- Request salary and allowances information from payroll
- Prepare annual estimates of revenue and expenditure
- Prepare materials for bi-lateral budget discussions.

#### Benefits:

- Explain to managers/officers the benefits available and act as a 'go to' for queries.

#### Gender and social inclusion:

- Implement a diversity, gender and social inclusion impact assessment on the MDA
- In conjunction with the Learning and Development team develop and deliver in-house gender and social inclusion sensitisation workshops for all officers.

#### HR MIS:

- Run ad hoc reports subject to information requests
- Run quarterly reports to demonstrate how the MDA is performing against set HR metrics
- Run data cleansing reports.

#### KPIs:

- Hold managers accountable for delivery of agreed actions/targets
- Address ongoing data issues and adjust processes and communications as needed.

#### Reporting:

- Agree and continually review a list of approved and ongoing monthly, quarterly, bi-annual reports for submission to Head of Department
- Support managers in the analysis and interpretation of HR reports, including HR planning.

**Registry:**

- Manage HR personnel to ensure reliable personnel data can be easily accessed.

**Monitoring and evaluation:**

- Ensure all HR KPIs and strategic objectives are regularly reported against, analysed and presented to relevant stakeholders with progress trackers and recommendations made.

**Employee surveys:**

- Interview managers to determine topics for inclusion in citizen/employee surveys
- Analyse all employee survey data by MDA and department, identifying trends/points of interest for discussion with Department Heads to enable effective HR planning.

**Ongoing professional development/learning:**

- Increase awareness of the importance of keeping data up to date, manage systems, retirement and leavers processes, including in-house training where relevant.

**Person specification (examples only)**

<b>Education (essential):</b>	<ul style="list-style-type: none"> <li>• Bachelor's degree</li> </ul>	<b>Education (preferred):</b>	<ul style="list-style-type: none"> <li>• HR related qualification</li> <li>• Member of Chartered Institute of Personnel Management (CIPM)</li> </ul>
<b>Experience (essential):</b>	<ul style="list-style-type: none"> <li>• Completion of HR induction training</li> </ul>	<b>Experience (preferred):</b>	<ul style="list-style-type: none"> <li>• Experience working as an HR officer in service wide MDAs</li> <li>• Experience working in at least two HR duty posts</li> </ul>

**HR Personnel Responsibilities****HR Measures and Accountability HR Personnel Duties (examples only)****Leavers and pensions:**

- Distribute or update documents relating to the contributory pensions scheme
- Invite retirees to attend retirement ceremonies at their MDA to mark their last day in office
- Process benefits for deceased officers
- Receive and process clearance letters for retirees from the service wide MDAs
- Request HR forms
- Treat and review retirement pre-requisite documents
- Update lists of inactive/retired employees.

**Payroll:**

- Administer gratuities, leave pay, overtime, salary and wages etc.

**Benefits:**

- Liaise with the relevant MDAs to administer and track the payment of benefits.

**Gender and Social Inclusion:**

- Regularly collect and analyse gender and social inclusion information as directed by the HR Manager.

**HR MIS:**

- Work with the service wide MDAs to make sure the nominal role, HR MIS and payroll records remain update to date and fully integrated
- Update and review the HR MIS database and the nominal role on a regular basis to ensure data integrity
- Scan personnel documents into the HR MIS database as needed
- Print personnel records.

**KPIs:**

- Collect data submissions from relevant units/departments.

**Reporting:**

- Distribute ad hoc and regular reports to approved managers as directed.

**Registry:**

- Continuously update, document and improve registry processes to guarantee uniform and efficient filing and accessibility of the information held
- Distinguish between data held on active officers and past officers and organise documents accordingly for quick and easy access.

**Monitoring and evaluation:**

- Produce regular reports as agreed, tied to strategic HR objectives and measures.

**Employee surveys:**

- Administer and collect employee survey data as directed.

**Ongoing professional development/learning:**

- Make suggestions for process improvements and efficiencies to HR Managers.

**Other:**

- Assist with the day-to-day efficient operation of the HR unit
- Deal with ad hoc assignments and collect information as required.

**Person specification (examples only)**

<b>Education (essential):</b>	<ul style="list-style-type: none"> <li>• Bachelor's degree</li> </ul>	<b>Education (preferred):</b>	<ul style="list-style-type: none"> <li>• HR related qualification</li> <li>• Member of Chartered Institute of Personnel Management (CIPM)</li> </ul>
<b>Experience (essential):</b>	<ul style="list-style-type: none"> <li>• Completion of HR induction training</li> </ul>	<b>Experience (preferred):</b>	<ul style="list-style-type: none"> <li>• Administration/service based work experience</li> <li>• Work experience in HR, Industrial Relations, Training or Recruitment</li> <li>• Experience working in MDAs of different sizes or in different sectors</li> </ul>

## Administration Duty Post

### Administration

#### Administration Department Overview:

##### What is 'Administration'?

Administration is the universal process of organising people and resources efficiently. Administrative functions typically include planning, organising, supervising, controlling and budgeting on behalf of the MDA. Other duties might include the management of specific projects, as well as coordinating and implementing office procedures.

#### Administration Duties:

Administration officers have general responsibility for the following:

- Taking charge of general administration
- Advising on general administrative matters
- Preparing and approving minutes of administration meetings
- Collating, storing and analysing data about administration processes
- Taking responsibility for administrative development planning
- Coordinating project management
- Assisting in the formulation, execution and review of administration policies and processes
- Preparing statutory and periodic reports
- Setting of internal operating standards
- Scheduling management tasks
- Providing support for daily executive duties
- Handling correspondence
- Screening, monitoring, recording and tracking internal/external MDA correspondence
- Making submissions and preparing draft letters on specific matters
- Registry management
- Preparing annual estimates of office expenditure
- Provision of offices for all staff
- Ensuring a clean and secure office environment
- Ensuring availability of adequate lighting, water, email, fax, computers, etc.
- Ensuring availability of stationery and adequate photocopying services/facilities
- Supervising and managing junior officers.

#### Administrative Officer Grade II, Grade Level 08

- Performing the following duties under supervision:
  - Collecting and interpreting data for use by senior officers
  - Making submissions and preparing draft letters on specific matters
  - Preparing minutes of meetings.

#### Administrative Officer Grade I, Grade Level 09

- Collating and assisting in analysing data
- Making submissions and preparing draft letters on specific matters.

#### Senior Administrative Officer, Grade Level 10

- Initiating the preparation of draft memoranda and speeches

- Supervising the work of a number of subordinates officers
- Analysing and applying data
- Assisting in making reports.

**Principal Administrative Officer, Grade Level 12**

- Preparing annual estimates of expenditure
- Performing general administrative duties
- Preparing statutory and periodic reports
- Coordinating the activities of a number of junior officers.

**Assistant Chief Administrative Officer, Grade Level 13**

- Taking responsibility for project management and management services
- Assisting in the administration of a section
- Assisting in the formulation, execution and review of policies
- Assisting in training junior staff.

**Chief Administrative Officer, Grade Level 14**

- Taking charge of a section
- Taking charge of a specific subject/subjects
- Supervising the training programmes of staff.

**Assistant Director, Grade Level 15**

- Taking charge of a branch
- Taking charge/coordinating activities in specific subject/subjects
- Coordinating the training and induction of staff
- Assisting in the formulation, execution and review of policies
- Assisting in the general administration of the department.

**Deputy Director, Grade Level 16**

- Taking charge of a department
- Advising on general administrative matters and assisting in the general administration of the department
- Taking responsibility for administrative development planning.

**Director, Grade Level 17**

- Taking charge of the general administration of a department
- Advising on general administrative matters.

Performance will be measured by assessment against specific individual objectives, set by a superior officer during each appraisal round. Feedback will also be sought from colleagues and peers as appropriate.

**Competencies:**

All administration officers are expected to demonstrate the following behaviours in all aspects of their work, as well as completing their basic technical and operational tasks. These competencies will be used to review, manage, promote and train administration staff.

- Communication
- Customer service
- Continuous learning
- Resourcefulness
- Accountability

**Person specification:**

<b>Education for entry (essential):</b>	Bachelor's degree	<b>Education for entry (preferred):</b>	<ul style="list-style-type: none"> <li>• Administration, humanities or other social sciences qualification</li> <li>• Master's degree</li> </ul>
<b>Experience for entry (essential):</b>	<ul style="list-style-type: none"> <li>• Experience working in a customer service environment</li> </ul>	<b>Experience for entry (preferred):</b>	<ul style="list-style-type: none"> <li>• More than one year of post qualification administration experience</li> </ul>

**Skills:**

- Excellent literacy skills
- Ability to communicate effectively in writing as appropriate for the needs of the audience
- Attention to detail
- Ability to clearly and effectively relay information
- Time management
- Strong organisational skills
- Effective problem solving and troubleshooting.

# SPARC HRM 2013

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## HRM Frameworks

**2D:**

HR Operational Procedures  
Reference Guide

sparc

## HR Operational Procedures Reference Guide

Human resources (HR) operational procedures are designed to outline the step-by-step process HR officers will have to undertake in a given situation. They provide a strategic link between the government's vision, its policies and its day-to-day operations. Indeed, well written procedures allow the HR officers to understand their roles and responsibilities within predefined limits and how to manage and guide operations without constant management intervention.

**Step 1.** The first step in developing a set of meaningful HR operational procedures is to map what is on the ground at present (to start with this may focus on an agreed list of priority functions). This will involve identifying each core HR function, process, the stakeholders and ministries, departments and agencies (MDAs) involved and their individual responsibilities from start to finish. Some of the existing processes may already be formally written down and outlined; others may be assumed or implied.

**Step 2.** Once the existing processes have been accurately mapped and approved, the State will then need to discuss how these might be improved/developed.

**Step 3.** Once the new improved processes have been agreed and formally outlined a series of step-by-step 'HR operational procedures' will need to be produced for ongoing reference by all HR officers. Any HR operational procedures developed should be consistent with and informed by the Civil Service Rules of the state and HR Policies.

### Caveat

*While a set of exemplary HR operational procedures are described over the course of the following pages these are intended as samples to facilitate discussion on how the state may wish to approach this exercise, the resources likely to be required and to establish an appropriate working group. It is, therefore, not intended that the reader review these procedures from cover to cover.*

*Instead this is a reference guide; to be used to look at the specific procedures which the state wants to address, not to be implemented as an off-the-shelf solution.*

*It should be noted that certain procedures and practices included in this guide may not be acceptable or desirable in all parts of the country. Inclusion of a practice in this guide should not be construed as a recommendation that the practice should be universally adopted. Each state should make its own decision on these issues.*



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# Acting Appointments

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**1. The Department Head to communicate the impending duty post vacancy to the HR officer**

N.B. The mere fact that someone has gone on casual or sick leave does not in itself justify an acting appointment, but there may be circumstances which necessitate an acting appointment for a relatively short period.

**2. The HR officer to seek a suitable officer of corresponding rank and experience within the MDA to fill the duty post**

N.B. All potential acting officers to be discussed with the Department Head to ensure the specific needs of the post are met.

**3. When no suitable officer is available, the HR officer to submit the acting appointment to the appropriate agency to determine:**

- Whether role is still needed and review the workforce plan
- If yes, identify officer of less senior rank, but with sufficient experience, who may be able to fill the post on a temporary basis for a defined period
- Whether there is also a need to fill the duty post on a permanent basis. (If yes, the HR officer must update the relevant workforce plan and refer to the relevant operational guidelines.)

Acting appointments are not intended as a means of testing the suitability of officers for promotion.

**4. Once a suitable acting officer is identified, approval to be sought from the Permanent Secretary, MDA and the Permanent Secretary, Civil Service Commission for a temporary acting appointment**

N.B. Recommendations to the Civil Service Commission for senior acting appointments must be forwarded with a certificate to the effect that the acting officer will assume the full duties and responsibilities of the post in question.

**5. For senior officers, the Permanent Secretary of the MDA is to submit the proposal to the Civil Service Commission for approval**

**6. For senior officers, subject to approval, the Civil Service Commission to place a notice of the acting appointment in the Official Gazette**

N.B. Approved appointments will be gazetted, but not back-dated to a period in excess of six months. The start date of the acting appointment shall be indicated in the gazette notice.

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Normally this will be the date on which the acting officer takes over the duties of the post. However, if the acting officer is taking over from the substantive holder, the start date shall not be earlier than:

- The date, after handing over, the substantive holder leaves the post or station
- The date, after handover, the substantive officer starts work in another post in the same station
- The date, after handing over, the substantive holder commences leave.

The end date of the acting appointment shall also be indicated in the gazette. This will be the day the officer relinquishes the duties and responsibilities of the post, but not later than:

- The date the acting appointment hands over to the substantive holder
- The date the acting appointment ceases to hold the post or acts in another post in the same station
- The date the substantive officer ceases vacation leave in the same station.

**7. The acting officer to assume some or all of the duties of the duty post to be filled for a defined period**

N.B. An acting officer going on casual or special leave will not be regarded as having relinquished his/her acting duties unless this forms part of an arrangement to appoint another officer to act in the duty post in question.

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# Adoption Leave<sup>1</sup>

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## **1. The officer to submit an adoption leave application to the HR officer**

N.B. Officers adopting children shall be entitled to apply for maternity or paternity leave in the same way as biological parents of young children, as long as the child adopted is less than 12 months old at the date of adoption, sufficient legal evidence can be provided of parentage and the requisite conditions of the maternity or paternity leave are met.

## **2. The officer to be considered for maternity or paternity leave as per the normal process**

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<sup>1</sup> It is recognised that the concept of paternity leave is not accepted in certain parts of the country.

# Advancement

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## **1. The Civil Service Commission to identify officers eligible for automatic advancement**

Advancement can take place for officers who joined the Service at entry level and have served for two years. However, it is stressed that advancement based on length of service alone is unacceptable and that merit considerations must take precedence.

## **2. The officers to be promoted**

N.B. The HR database/HR MIS (human resources management information system) to be updated by the Civil Service Commission to reflect the change.

## **3. The Permanent Secretary, MDA to be formally notified**

## **4. The HR officer to provide a letter of advancement to the officer concerned**

## **5. The advancement letter to be scanned into the HR database/HR MIS**

# Annual Leave

**1. The HR officer to work with the relevant Department Head to collate all annual leave requests**

N.B. Annual leave is compulsory and must be taken in the calendar year.

A provisional schedule is typically prepared at the beginning of the leave year with officers invited to make their submissions.

Officers going on religious pilgrimage (other than officials formally assigned to cover such activities) should use part of their annual leave for such purposes.

Temporary staff may be granted leave in the same way as permanent officers. Annual leave may be taken all at one time or in instalments.

Proportionate leave is vacation granted to a new or retiring officer in proportion to the number of days he/she has put into the Service (subject to a minimum of 30 days).

Proportionate leave is calculated as outlined below:

Length of service	GL7+ (30 working days)	GL4-6 (21 working days)	GL3 and below (14 working days)
12 months	30	21	14
11 months	28	19	13
10 months	25	18	12
9 months	23	16	11
8 months	20	14	9
7 months	18	13	8
6 months	15	11	7
5 months	12	9	6
4 months	10	8	5
3 months	7	6	4
2 months	5	4	3
1 month	3	2	1

New joined employees and retirees shall be entitled to proportionate leave as outlined above.

Officers attending courses of instruction over a period of six months will be entitled to proportionate leave for the period they were not attending a course of instruction.

### **3. The annual leave calendar to be approved by the Permanent Secretary, MDA**

N.B. The roster for the coming year is approved by the Permanent Secretary by 31 December of the current year.

### **4. The HR officer to communicate leave approval to each officer**

N.B. Annual leave rosters for each department should be updated, adjusted and monitored on a regular basis.

### **5. The officer to take approved annual leave**

N.B. All officers must take their vacation leave within the calendar year in which such leave is due. Any unused leave will be forfeited. In exceptional cases, an officer unable to take leave may be able to defer his/her leave, but this must be confirmed in writing by the Permanent Secretary, MDA.

An officer on any leave shall not accept any paid employment without previously obtaining the express approval of the Permanent Secretary, Establishment Matters.

Officers travelling abroad for annual leave must leave their contact details with the relevant members before they travel.

An officer may be required to return to duty before the expiration of their authorised leave by the Permanent Secretary of the MDA. Any portion of his/her leave so curtailed shall be taken immediately upon, or not later than 90 days after, completion of the assignment.

Annual leave may be deferred in exceptional circumstances, as approved by the Permanent Secretary, MDA, but may also be awarded to the following officers:

- Officers on State assignments e.g. tribunals and conferences
- Officers who were made to accumulate their leave by their Permanent Secretary.

Authorised deferred leave shall only be commuted to cash when an officer has been made to retire prematurely and cannot use up all the deferred leave before retirement.

Extensions of leave shall be granted by the State government on the grounds of public policy. Unless otherwise directed, such extensions shall be on full salary.

An officer on vacation leave may, in exceptional circumstances, be granted an extension of leave on the grounds of urgent private affairs on full salary up to the expiration of all their deferred leave and thereafter without salary.

Where an officer is required during his/her vacation leave to undertake any duty, the duty period shall not be considered part of the annual leave.



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**6. The manager/supervisor to confirm that the officer has returned from leave and update the leave roster accordingly**

N.B. An officer who, without acceptable excuse, fails to resume duty on the approved date after vacation leave will be regarded as being absent without leave and without pay

**7. The officer to submit a Resumption of Duty Certificate to his/her Permanent Secretary**

**8. The HR office to update the officer's leave record in the HR database/HR MIS**

**9. The Head of Service and relevant pool officer to run monthly HR database/HR MIS reports to track leave**

# Appraisal and Promotion

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**1. The manager to set SMART (specific, measurable, achievable, results-oriented, time-bound) *future* objectives during each appraisal round, specific to each officer**

The officer is to have these documented in his/her appraisal and to hand so he/she knows what his/her targets are for the next six months.

**2. The manager to regularly review and monitor an officer's performance**

Feedback and corrective action should be given on a daily basis to ensure the officer understands clearly what is expected and, more importantly, how to improve. The HR officer is to work with the department heads and managers on a monthly basis to provide adequate development and coaching support to help the manager communicate difficult messages, draft SMART objectives and manage performance.

**3. The HR officer to provide the Department Head with annual performance evaluation report (APER) forms every May and November**

The forms are to be distributed to all officers conducting appraisals.

**4. All officers to complete self appraisals**

Officers must provide specific evidence of their performance against the individual SMART objectives set and submit this to their superior officers.

**5. The HR officers to identify all officers in each department eligible for promotion**

A list of eligible officers is to be compiled by the HR officer taking into consideration length of service, grade level, cadre, etc.

**6. Provisional grades and promotion nominations to be submitted to Department Head for review**

All officers who fall within the field of selection for any promotion exercise shall be *considered* except those who are under disciplinary proceedings. Not everyone eligible should be nominated, however, as performance will vary.

**7. Provisional grades and promotion nominations to be submitted to the appropriate promotion board or the Civil Service Commission**

**8. The promotion board or Civil Service Commission to meet to discuss and formally review provisional grades. Promotion nominations also to be agreed**

**9. Revised provisional grades to be approved by the Permanent Secretary, MDA. Promotion nominations to be approved by the Permanent Secretary, MDA with further action taken being part of a formal promotion process**

**10. The promotion examinations/interview take place**

Written and oral promotion examinations shall be specific to the expected requirements of the new roles/levels the officers are being considered for.

Promotion marks shall be given the following weighting: APER 50%, interview 30% and examinations 20%.

Continuous professional development (CPD) may also form part of the promotion marks, defined by cadre and the relevant Commission.

**11. The appropriate promotions board of the Civil Service Commission to reconvene to review overall APER scores for promotion nominees, review promotion nominations and approve promotion recommendations**

**12. For senior officers, the Permanent Secretary, MDA to forward promotion recommendations to the Civil Service Commission and, as appropriate, to the Head of Service**

N.B. Promotion approvals:

- GL1 to GL6: MDA, approved by Permanent Secretary, MDA
- GL7 to GL14: MDA, with confirmation by the Civil Service Commission
- GL15 to GL17: MDA recommendation reviewed by the Head of Service and approved by the Civil Service Commission.

**13. Promotion nominations to be approved by the Civil Service Commission/Head of Service**

N.B. Approval to be formally communicated to the Permanent Secretary, MDA.

**14. The manager to hold an appraisal meeting with each officer to communicate the overall APER grade, to discuss past performance and set future objectives. Promotion to also be communicated, if applicable**

Officers considered for promotion, but not promoted should be given specific feedback about what they need to work on over the next six months to improve in those areas in which they are considered deficient.

For officers being promoted from a non-pensionable to a pensionable appointment, promotion is subject to passing an examination by the government Medical Officer. They must be certified fit for work if the non-pensionable appointment was not preceded by such an examination.

An officer's increment date (start date) in their newly promoted grade level shall be the first day of the month in which the officer begins their promotion (e.g. 1 Jan or 1 July).

The effective promotion date is normally 1 Jan or 1 July, as determined by the Civil Service Commission.

Seniority in any department shall be determined by the date of the officers' appointment to the particular class or grade in which the officer is serving.

In the case of promotion from a non-pensionable junior post to the immediately superior pensionable grade in the direct line of promotion, if the promoted officer does not secure confirmation in the higher grade, the officer may be allowed to revert to the former non-pensionable grade.

**15. The manager to document the appraisal in the APER form and submit to the Permanent Secretary, MDA**

Appraisal feedback should be constructive and include areas for improvement and identification of development needs.

The relevant officers are issued with a promotion letter.

**16. The Permanent Secretary to approve the APER forms**

**17. The approved forms to be formally distributed to each officer**

**18. The officer to formally acknowledge receipt of the form and submit additional comments as necessary to the HR officers**

The officer should acknowledge receipt of the appraisal in writing. Appeals against APER scores or non-promotion must be made within six months of the promotion exercise.

**19. The HR officers to review the APER forms for each department to identify: 1) performance trends; 2) training and development needs; 3) information to feed into succession planning; 4) career/deployment goals for specific officers; and 5) suitability for appointment/promotion to a senior grade**

**20. Wider communication of appraisals and proposed associated actions**

Appraisals of senior officers and the proposed HR action plans are to be submitted to the Permanent Secretary, Civil Service Commission by the end of July or end of December. Appraisals of pooled officers are to be forwarded to the relevant department. Training needs and development proposals are to be formally communicated to Establishment Matters.

**21. Relevant stakeholders to approve/agree proposed actions**

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## Notional Promotion

### 1. The officer to request a notional promotion on return from absence from duty

Notional promotion may be granted to restore an officer's seniority if, during his/her absence from duty on the following grounds, he/she was not considered for promotion, provided that on return he/she satisfies the promotion criteria:

- Officer away on an approved course of study or leave of absence on grounds of public policy
- Officer on secondment to another government agency/approved body
- Officer granted study leave with or without pay.

An officer granted notional promotion shall not be entitled to the salary of the higher post until the officer assumes the duties of that post. However, the effective date of promotion shall be used in determining the point at which the officer enters the new salary scale, the officer's future increment date and seniority in the grade.

Notional promotion should still be subject to merit.

# Benefits and Insurance

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## Loss of Property

### **1. The officer to submit a claim to the HR officer**

Officers **will not** normally be entitled to compensation from public funds for loss of property in circumstances arising from their service, and they are encouraged to consider insuring their belongings to protect against any type of loss or damage.

### **2. The claim to be considered by the HR officer on the individual merits of the case**

Cases of loss arising through special circumstances will be considered on their merits. Even if compensation is approved *ex gratia* by the government, it will, as a general rule, be given only in respect of articles conventionally necessary at the place where the loss occurred. Further the amount granted will be limited to two-thirds of the current value of such articles and on production of a police report and sworn affidavit from the court. Claims may be withheld altogether if the loss or damage was the result of negligence for which the officer was responsible or which could reasonably have been covered by insurance.

If the motor vehicle of an officer, while being used for official duties, is damaged as a result of civil disturbance, the government shall accept responsibility for such damage.

If an officer's private vehicle, while being used on official duties, is damaged beyond repair as result of an accident that was not the fault of the officer concerned or a designated driver, the government shall accept responsibility to the extent of the difference between the indemnity covered by the insurance and the cost of replacing the vehicle.

### **3. The HR officer to submit a report and recommendation to the Permanent Secretary, MDA for approval**

### **4. If approval is granted, the officer to be formally notified of the compensation in writing**

## **Passenger Flight Insurance**

### **1. Officers travelling by air, land or sea at the government's expense to be notified of their insurance entitlements and responsibilities by the HR officer**

People, when travelling by air, land or sea at the government's expense will be eligible for free insurance cover provided by the agency of the member of staff concerned.

A passenger travelling to and from any destination inside or outside Nigeria with the authority of the government is entitled to free insurance cover for the capital benefits.

Where a traveller takes advantage of 'stopover' facilities and does not reach the destination during the normal travel time the insurance cover lapses at the first place of stopover.

An officer obliged to take their vehicle by sea between Nigerian ports is eligible to be refunded the cost of insuring the vehicle against marine risks.

## **Packing of Personal Effects**

### **1. An officer being transferred to duties outside Nigeria to apply to HR officer to have their baggage shipped**

Officers transferred to duties outside Nigeria and who have not been able to make their own arrangements for the forwarding of their personal effects may be provided with certain packing and shipping facilities authorised and approved by the government.

To minimise the risk of loss or damage and to facilitate the handling of the baggage, officers are advised to list all their personal effects, baggage by baggage, prior to proceeding on leave and to pack it in such a way that it can be easily shipped.

### **2. The Permanent Secretary, MDA to consider packing and shipping applications for forwarding of personal effects**

On receiving an application from an officer to have his/her baggage shipped the Permanent Secretary will make the necessary shipping arrangements with the government approved shipping agent.

## **Personal Accident Insurance**

### **1. Eligible workers will be notified by the HR officer of their entitlement to personnel accident insurance**

The following categories of workers are, by the nature of their duties, eligible for personal accident insurance:

- Dispatch riders
- Traffic officer cadre
- Demolition men
- Fire service officers (i.e. fire fighters only)
- Life guards
- Workers in camps for the destitute
- Mortuary attendants (health attendants)
- X-ray attendants
- Boiler room workers
- Infectious disease health workers
- Zoo attendants.

Officers shall be insured by [xxx Insurance Plc].

## **Occupational Hazards**

### **1. Eligible workers to be notified by the HR officer of their entitlement to occupational hazards insurance**

This insurance is paid to certain categories of workers who, by the nature of their duties, are exposed to danger, infection, fire, etc.

## **Life Insurance (where applicable)**

### **1. The family to inform the HR officer of the death of a pensionable officer**

The next-of-kin, spouse or children of a pensionable officer who has died should write a letter of notification of death to the Permanent Secretary, MDA where the officer was last employed. This letter of notification must contain a certified true copy of a death certificate from a government hospital.

### **2. The HR officer to draft a letter of introduction addressed to the Director-General of the State Pension Commission on behalf of the family**

The letter of introduction must contain the necessary details of the deceased employee e.g. first date of employment, HR database/HR MIS number, grade, annual emolument as at the last posting, etc.



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**3. The Permanent Secretary of the MDA to approve the letter and forward it to the Director-General of the State Pension Commission, with a copy to the Permanent Secretary, Civil Service Commission**

**4. The Pension Commission to liaise with the Insurance Department in the Ministry of Finance and process the redemption of the life insurance policy**

The Pension Commission shall exercise due diligence to determine the rightful beneficiary of the retirement savings account and its amount.

**5. The Pension Commission to issue a letter confirming redemption of the life insurance policy to the Pension Fund Administrator**

**6. The authenticated beneficiary receives payment of the life insurance policy of the deceased**

The payment will be made into the deceased officer's retirement savings account.

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# Career Planning

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## **1. The officer to request a meeting with the HR officer to discuss career development**

Priority shall be given to senior officers identified by the talent mapping process (see later) as future leaders, high performers or those requiring specific development support, coaching or intervention.

## **2. The HR officer to interview the officer**

The HR officer determines what the officer wants to accomplish, why the officer wants to accomplish this, who can help the officer and what actions the officer needs to take to achieve the desired end. Officers requesting to be redeployed to specific teams/departments/MDAs must give specific reasons why these moves will help them in their career development and what specific skills they hope to acquire by doing this.

## **3. The HR officer to prepare the personnel development plan (PDP)**

As well as the interview, the HR officer uses the officer's APER and discussions with the officer's manager to identify areas for improvement and a structured development plan.

## **4. The officer to be issued with the PDP and advised on his/her responsibilities**

The HR officer also uses the PDP goals/objectives to feed into succession planning, promotion consideration, talent mapping, deployment, etc.

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## Casual Leave

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**1. The officer to discuss the application for casual leave with his/her manager**

Casual leave is the absence of an officer from duty for a short period. The period of the leave shall not exceed an aggregate number of days, as set by the State, within a leave year and as may be authorised by a superior officer. The casual leave shall only be granted after an officer has exhausted their annual leave and is awarded only in special circumstances. For example, provided that it will not interfere with the work of the MDA, an officer who is a member of a registered trade union may be granted casual leave to attend important trade union conferences/events. Officers who have failed to plan their annual leave accordingly will not simply be granted casual leave because they want to take more holiday.

**2. If the manager is supportive, the officer to formally apply for casual leave to the HR officer**

**3. The HR officer to consider the merits of the casual leave application and make a recommendation to the Permanent Secretary, MDA**

Casual leave is deductible in advance or in arrears of earned leave.

**4. Casual leave to be approved by the Permanent Secretary, MDA**

**5. The officer to be notified of the approved period of casual leave in writing**

If necessary a special extension to such leave may be granted, subject to approval.

**6. The leave letter to be scanned into the HR database/HR MIS and placed against the officer's record**

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# Compassionate Leave

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## **1. The officer to apply to the HR officer for compassionate leave**

The officer must first discuss the request with the officer's manager. An officer may be allowed special leave on compassionate grounds, for a period of up to a maximum set by the State, for the burial of a spouse, child, parent and parent of spouse.

## **2. The HR officer to consider the application**

## **3. The Permanent Secretary, MDA to approve the leave**

## **4. The length of the compassionate leave to be confirmed to the officer in writing**

The officer should make necessary arrangements for handover and cover in his/her absence. Any officer who does not return from compassionate leave within the agreed period will be considered absent without leave.

## **5. The leave letter to be scanned into the HR database/HR MIS and placed against the officer's record**

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# Contract Appointments

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## **1. The HR officer to identify the specific need for a contract appointment**

Appointment on contract is a temporary appointment (which does not provide for the payment of a pension) to a specified post for a specified period, recorded by a formal agreement.

A need must be identified for a specific skill set, not available within the present population.

Contract appointments can be offered to expatriates only when suitably qualified Nigerians are not available.

## **2. The Permanent Secretary, MDA to approve the request and forward it to the Civil Service Commission**

## **3. The civil Service Commission to review and approve or not approve the request for a contract appointment**

## **4. The Civil Service Commission to formally identify and appoint the contract officer**

Conditions of service for contract officers are detailed in their contracts. The privileges, emoluments or allowances described in this document do not apply to contract officers unless specifically stated in their contracts.

Nigerians may be appointed on contract if:

- They are pensioners
- They are 55 years of age or older
- There is a specific, identified need to employ someone on contract which is deemed by the relevant Commission to be in the best interests of the Service
- The candidate possesses specialist competencies or skills, provided the post has been first advertised in three national newspapers.

Non-Nigerians married to Nigerians should remain on contract until granted citizenship before being considered for permanent appointment.

The duration of a contract appointment is limited to the period specified in the contract itself. Any further employment of the officer concerned must be subject to a new contract.

Appointment on contract may be terminated by the State government at any time in accordance with the terms specified in the contract itself.

## **5. Discussions about the termination of employment of an officer on a contract should take place in a reasonable time before the contract is due to expire**

Termination of a contract by the holder is subject to the terms of the contract and any questions concerning waiving any penalties shall be referred to the State agency in charge of Establishment Matters.

An officer serving on contract, who desires to be re-engaged, shall inform the government in writing not less than four months before the contract is due to expire. In the absence of any such notification, the contract shall be deemed terminated at the end of the stipulated period.

**6. The officer to make an application for re-engagement to the Permanent Secretary of the MDA in which the officer is serving**

Retired officers may only be re-engaged into career posts on grade levels immediately below those at which they retired.

**7. The Permanent Secretary, MDA to approve or not approve the application**

The performance of officer during the term of the contract is to be formally documented and reviewed.

**8. For senior officers, the Permanent Secretary, MDA to forward the application and recommendation to the Permanent Secretary, Civil Service Commission**

An up to date confidential report on the officer is to be enclosed.

**9. The Civil Service Commission to consider the application for re-engagement**

Where a decision is taken not to re-engage the officer, the Permanent Secretary, MDA should be advised accordingly. The Civil Service Commission will provide confirmation of this in writing so the officer can be informed without delay that the application for re-engagement has been refused.

**10. Where re-engagement is approved by the Civil Service Commission, the contractual terms to be confirmed to the Permanent Secretary, MDA in writing**

Possible outcomes:

- Authority to re-engage the officer and details of the terms proposed
- Authority to re-engage subject to the original contract terms and conditions.

A new contract shall then be signed on behalf of the government.

**11. The Permanent Secretary, MDA to advise the contract officer accordingly and issue a new contract**

The Permanent Secretary, MDA is to obtain the witnessed signature of the officer on two copies of the new contract.

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## **12. Copies of the signed contract to be issued to the relevant parties**

One copy of the new contract is to be held by the officer and one is to be forwarded to the agency responsible for Establishment Matters.

Provided re-engagement is completed by the signing of a new contract before the expiry of the original contract, the service shall be treated as continuous.

If a re-engaged officer is on leave and is required to return to duty under the new contract before the expiration of the leave due under the former contract, the leave forgone shall be treated as deferred leave to be enjoyed under the conditions of the new contract.

When a contract officer is re-engaged without a break in service and on the same salary scale the officer shall retain the increment date recorded under the original contract.

## **13. The HR database/HR MIS to be updated accordingly**

# Conversion

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**1. For conversion, the officer to acquire qualifications for the new cadre as prescribed in a Scheme of Service**

**2. The officer to submit an application for conversion to the HR officer**

Application must include details of the desired cadre of conversion, certificates of qualifications gained and any additional evidence to support the acquisition of relevant experience.

**3. The Civil Service Commission, or appropriate appointment board, to consider the application for conversion**

**4. The officer to be formally notified of the outcome**

The notional date of conversion is the date the officer acquired the qualification or when a vacancy occurred, whichever is the later. The effective date for change in remuneration is 1 January following the date of conversion.



# Criminal Proceedings

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- 1. An officer, under pain of disciplinary action, to promptly report to his/her HR officer whenever he/she is convicted of a criminal offence and report the outcome of such a charge**
- 2. This information to be promptly forwarded to the Permanent Secretary, MDA with details of the court proceedings**
- 3. The Permanent Secretary, MDA to forward details to the Civil Service Commission**
- 4. The Civil Service Commission to consider the proceedings and appropriate action**
- 5. The appropriate action to be taken**

Nothing shall prevent disciplinary action being taken or continued against an officer whether or not criminal proceedings have been instituted in any court of law, or whether the grounds upon which the criminal charge are based are substantially the same as those upon which the disciplinary proceedings were or are to be instituted.

An officer acquitted of a criminal offence shall not be penalised for any charge of which he/she has been acquitted. However, this does not prevent him/her from being dismissed or punished on any other charge arising out of their conduct in the matter, providing such a charge does not raise substantially the same issues as those of which he/she has been acquitted.

An officer convicted of a criminal offence (not including a minor traffic, sanitary offence or the like) shall be suspended with effect from the date of conviction, pending consideration of the case by the Civil Service Commission.

Any officer who absents himself from duty or travels out of Nigeria without leave shall be liable to be dismissed from the Service.

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# Serious Financial Embarrassment

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## **1. An officer to inform the HR officer of serious financial embarrassment**

Serious financial embarrassment is when the state of an officer's indebtedness is causing serious financial hardship. This is determined as:

- The aggregate of the unsecured debts and liabilities at any time exceeds the amount of three times the officer's monthly emolument
- The officer is a judgement debtor and the judgement debt remains unsettled
- The officer is bankrupt or insolvent.

## **2. The HR officer to forward details of the case to the Permanent Secretary, MDA**

## **3. The Permanent Secretary, MDA to consider appropriate action**

Serious financial embarrassment shall be regarded as impairing the efficiency of an officer and rendering him/her liable to disciplinary action up to and including dismissal.

Where the fact that an officer has become a judgement debtor or a party to accommodation bills or promissory notes is brought to the attention of the Permanent Secretary, MDA, the officer shall be called upon to submit a statutory declaration, using the prescribed form Gen 74, disclosing the liabilities. The Permanent Secretary, MDA may then consider it appropriate to initiate disciplinary proceedings.

Any officer suffering serious financial embarrassment shall be disqualified from promotion or acting in a higher appointment.

# Discipline (Misconduct)

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## **1. An act of misconduct committed by an officer**

Misconduct is any specific act(s) of wrongdoing or improper behaviour that might lead to disciplinary action, termination or retirement.

## **2. A superior officer dissatisfied with the behaviour of a subordinate officer to inform the HR officer**

## **3. The HR officer to work with the manager to draft a formal letter to the officer detailing the unsatisfactory behaviour**

## **4. The officer to make written representations**

## **5. The manager/supervisor to consider the written representations and decide the next steps**

After considering the written representations, the superior officer then has to decide whether:

- The officer has sufficiently justified the actions and/or explained them. In which case no further action shall be taken and this will be confirmed in writing
- The officer should not be punished, but issued with a letter of advice which the officer shall be required to acknowledge in writing. In this instance the letter must be drafted by the HR officer and approved by the Permanent Secretary, MDA
- The officer deserves to be punished.

The HR officer will continue to monitor the performance of officer over the coming months, regardless of next steps decided.

All disciplinary cases must commence and be completed within 90 days, except in exceptional circumstances.

## **6. An appropriate disciplinary board to consider the report and investigate the allegation of misconduct**

The officer shall be given access to any document likely to be used against him/her and asked to state his/her defence. The officer should then be called upon to state in writing, within a specific time period, any grounds he/she thinks should be considered.

Where necessary, the disciplinary board may set up a Board of Inquiry (approved by the Civil Service Commission for senior officers and consisting of not less than three people), one of whom shall be appointed Chairperson. The Board shall take into consideration the status of the officer in question and the nature of the complaint. The Head of the officer's department shall not be a member of the Board.

The officer shall be informed that the case is being brought before the disciplinary board and he/she is required to defend himself/herself. He/she shall also be allowed to call witnesses. Where witnesses are called, the officer shall be entitled to put questions to them. All documentary evidence shall be submitted in advance to give the officer sufficient time to review it.

If, during the course of the investigation, further grounds for disciplinary action are disclosed, the officer shall be informed of these in writing and allowed to respond in the same way as to the original grounds.

Where the disciplinary board makes recommendations of a disciplinary nature on an officer, the Civil Service Commission shall not act on such recommendation until the officer has been called upon to answer the allegations. If the officer refuses to reply to the allegations within a reasonable time or not at all, the Civil Service Commission shall proceed to accept and enforce the recommendations of the Personnel Management Board.

**7. The outcome of the investigation and any recommendations to be approved by the Permanent Secretary, MDA**

For junior officers, appropriate disciplinary action (up to and including dismissal) is then to be taken against the officer.

For senior officers (GL7-13), disciplinary action (excluding dismissal) is then to be taken against the officer.

The officer shall be notified in writing of the grounds on which he/she is being disciplined, the specific offence, the rules/regulations which he/she is said to have broken and the penalty

**8. For senior officers, the Permanent Secretary, MDA to forward the recommendations of the disciplinary board to the Civil Service Commission**

Disciplinary recommendations on officers GL7-13, which exclude dismissal, are for the information of the civil Service Commission only.

**9. For all dismissals or proposed disciplinary actions for officers in grades GL14 or higher, the Civil Service Commission to determine if the officer is guilty of misconduct (but not gross misconduct)**

If the Civil Service Commission feels that further inquiry is desirable it may refer the matter back to the Board, but the Civil Service Commission itself shall not hear witnesses. If this is the case, the officer shall be informed accordingly and given adequate opportunity to prepare a defence.

If the Civil Service Commission decides that the allegation is proved, it may inflict any other punishment on the officer, such as reduction in rank, or withholding or deferring increments

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**10. The Civil Service Commission to confirm in writing the grounds for disciplinary action against the senior officer**

The officer shall be notified in writing of the grounds on which he/she is being disciplined, the specific offence, rules/regulations which he/she is said to have broken and the penalty.

## Discipline (Poor Performance)

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**1. The manager to notify an officer of short comings, clarify what is expected and the period within which he/she needs to improve**

This should be put on record.

Officers who fail promotion examinations at the same grade on three consecutive attempts and whose performances are below average shall be considered to be poor performers and required to leave the service.

**2. The HR officer to work with manager to ensure SMART objectives are available and the officer is given sufficient guidance and opportunity to improve**

**3. If significant improvement is not seen at the end of the agreed performance management period, the HR officer to submit a report to the officer's Permanent Secretary with a copy to the Civil Service Commission**

This should be put on record and the officer notified accordingly. The officer should be invited to make written representations.

**4. The HR officer, together with the Permanent Secretary, MDA, or the Civil Service Commission to consider the report and representations and decide appropriate disciplinary action**

The officer involved and the supervising officer should both be invited to state their cases. The relevant documentation, evidence and APER forms must be reviewed.

Appropriate disciplinary action might be:

- No warning
- Written warning (in the first, second or third instances)
- Dismissal (if three written warnings have already been given)
- Loss or deferment of increment.

Regardless of the recommended action, the HR officer shall also set agreed review periods for the officer to re-assess any required improvements – typically these would be every three months. The disciplinary process shall be initiated again if these improvements are not made.

**5. The performance recommendation to be approved by the Permanent Secretary, MDA**

For a junior officer, appropriate disciplinary action (up to and including dismissal) is then to be taken against the officer. The Permanent Secretary, MDA can also terminate the employment of temporary staff. The officer is to be informed of the action taken in writing.

**6. For senior officers, the Permanent Secretary, MDA to forward recommendations to the Civil Service Commission**

Disciplinary recommendations (excluding dismissal) against officers in grades GL7-13 are for the information of the Civil Service Commission only.

For officers in grades higher than GL13, the Permanent Secretary, MDA can recommend the deferral of an increment, giving the grounds and proposed period for approval by the Civil Service Commission. Once approved the Permanent Secretary, MDA is to inform the officer in writing stating the reasons and the period of deferment. The Accountant General and Auditor General are then to be informed.

**7. For all dismissals or proposed disciplinary actions for officers in grades higher than GL14, the Civil Service Commission to determine the appropriate disciplinary action**

Requirements for dismissal on grounds of poor performance:

- Three written warnings (or losses or deferments of their increments)
- The officer is given a total of not more than 12 months to improve.

**8. The Civil Service Commission to confirm in writing the grounds for disciplinary action against the senior officer**

The officer shall be notified in writing of the grounds on which he/she is being disciplined, the specific offence, the rules/regulations that he/she is said to have broken and the penalty.

**9. The HR officer to effect the approved disciplinary outcomes**

This includes disciplinary action, dismissal or retirement (if the Commission feels the officer does not deserve to be dismissed, but that there are grounds for his/her retirement).

Notice of termination for poor performance is normally one month. If it is decided the officer should leave immediately then one month's salary shall be paid in lieu of notice. The period of notice should include any leave to which the officer is entitled. If the leave is longer than the period of notice, the officer shall be sent on leave and the period of notice absorbed by the leave.

An officer who is dismissed forfeits all claims to retirement benefits, leave or transport grant.

When an officer is dismissed, no notice or salary in lieu of notice shall be given and their dismissal shall take effect from the date on which he/she is notified by the Permanent Secretary, MDA. This date should be communicated to the Civil Service Commission and Establishment Matters as soon as possible.

Where an officer seeks to evade this official notification the effective date shall be the date on which he/she is served with the notification (either through delivery by messenger to a recorded address, or the date on which notification was sent by post to their last know or normal address).

An officer leaving the service by reason of dismissal shall not be entitled to proportionate leave. If the officer has enjoyed more leave during that leave year than he/she is entitled to at the date of leaving, the service shall then require salary to be refunded. The rate of refund shall be that at which the officer was paid. The officer will pay a refund of salary for the number of working days leave enjoyed in excess of what he/she was eligible to receive. (The number of days for which salary has to be refunded will be treated as leave without pay for pension purposes.)



## **Discipline (Serious Misconduct)**

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### **1. An officer commits an act of serious misconduct**

Serious misconduct is a very serious wrongdoing and improper behaviour, which, if proved, may lead to dismissal.

### **2. A superior officer or other dissatisfied with the behaviour of a subordinate officer to inform the HR officer**

### **3. The HR officer to inform the Permanent Secretary, MDA of the incident and make recommendations, if appropriate, for interdiction/suspension**

When a serious case, which may lead to dismissal, has been made, the Permanent Secretary, MDA may find it appropriate to interdict the officer on not more than half pay pending determination of the case. This should be used in cases where it is not in the State's best interest for the officer to continue to perform the duties of the officer's rank. If it is in the State's interest for the officer to continue to perform some of the duties, other alternative duties might be considered.

When an officer is interdicted the officer shall cease to report for duty and receive such proportion of his/her emoluments as deemed appropriate by the Civil Service Commission. This shall be confirmed in writing.

If the proceedings show the officer is not guilty of the charge he/she shall be immediately reinstated and receive the full emoluments denied him/her while under interdiction.

If the officer is found guilty, but not dismissed, he/she may be refunded such portion of the emoluments denied as determined by the Civil Service Commission.

An officer under interdiction shall not leave the country without the express approval of the Civil Service Commission and shall inform the HR officer of the MDA of the address to which instructions should be delivered. Should the officer fail to comply with instructions delivered to him/her at the given address within seven days of delivery, he/she will be regarded as being absent from duty without leave.

Suspension is not the same as interdiction. Suspension should be used in cases where a prima facie case has been established against the officer. Suspension should not last for more than three months.

### **4. The Permanent Secretary, MDA to approve interdiction/suspension, if appropriate**

Details of the interdiction or suspension shall be given to the officer in writing.

### **5. The HR officer to work with the manager to draft a formal letter confirming to the officer the details of the serious misconduct**

**6. The officer to make written representations**

**7. The HR officer to submit the report and representations to an appropriate disciplinary board**

The HR officer is to include details of any suspension/interdiction.

**8. The appropriate disciplinary board to consider the report and investigate the allegation of serious misconduct**

The officer shall be given access to any document likely to be used against him/her and asked to state his/her defence. The officer shall then be called upon to state in writing, within specific time period, any grounds he/she thinks should be considered and summoned by the Personnel Management Board.

Where necessary, the disciplinary board may set up a Board of Inquiry (approved by the Commission for senior officers and consisting of not less than three people), one of whom shall be appointed Chairperson. The Board shall take into consideration the status of the officer in question and the nature of the complaint. The Head of the officer's department shall not be a member of the Board.

The officer shall be informed that the case is being brought before the Personnel Management Board and he/she is required to present a defence. The officer shall also be allowed to call witnesses. Where witnesses are called the officer shall be entitled to put questions to them. All documentary evidence shall be submitted in advance in give the officer sufficient time to review it.

If, during the course of the investigation, further grounds for disciplinary action are disclosed, the officer shall be informed of such in writing and be allowed to respond in the same way as to the original grounds.

Where the Personnel Management Board makes recommendations of a disciplinary nature against an officer, the Civil Service Commission shall not act on such recommendations until the officer has been called upon to answer the allegations. If the officer refuses to reply to the allegations within a reasonable time, or not at all, the Civil Service Commission shall proceed to accept and enforce the recommendations of the Personnel Management Board.

**9. The outcomes of the investigation and and recommendation to be approved by the Permanent Secretary, MDA**

For a junior officer, appropriate disciplinary action (up to and including dismissal) shall then be taken against him/her.

For a senior officer, grades GL7-13, disciplinary action (excluding dismissal) shall then be taken against the him/her.

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The officer shall be notified in writing of the grounds on which he/she is being disciplined, the specific offence, the rules/regulations which he/she is said to have broken and the penalty

**10. For senior officers, the Permanent Secretary, MDA to forward the recommendations of the disciplinary board to the Permanent Secretary, Civil Service Commission**

Disciplinary recommendations against officers in grades GL7-13, which exclude dismissal, are for the information of the Civil Service Commission only.

**11. For all dismissals or proposed disciplinary actions for officers grades GL14 and above, the Civil Service Commission to determine if the officer is guilty of misconduct (but not gross misconduct)**

If the Civil Service Commission feels that further inquiry is desirable it may refer the matter back to the Board, but the Civil Service Commission itself shall not hear witnesses. If this is the case, the officer shall be informed accordingly and given adequate opportunity to make a defence.

If the Civil Service Commission decides that the allegation is proved, it may inflict any other punishment on the officer, such as reduction in rank, withholding or deferring increments.

**12. The Civil Service Commission to confirm in writing the grounds for disciplinary action against the senior officer**

The officer shall be notified in writing of the grounds on which he/she is being disciplined, the specific offence, the rules/regulations which he/she is said to have broken and the penalty.

**13. The HR officer to effect the approved disciplinary outcomes**

This includes disciplinary action, dismissal or retirement (if the Civil Service Commission feels the officer does not deserve to be dismissed, but that there are grounds for their retirement).

An officer who is dismissed forfeits all claims to retirement benefits, leave or transport grant.

When an officer is dismissed, no notice or salary in lieu of notice shall be given and their dismissal shall take effect from the date on which he/she is notified by the Permanent Secretary, MDA. This date should be communicated to the Civil Service Commission and Establishment Matters as soon as possible.

Where an officer seeks to evade this official notification, the effective date shall be the date on which he/she is served with the notification (either through delivery by messenger to a recorded address or the date on which notification is sent by post to their last known or normal address).

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An officer leaving the service by reason of dismissal shall not be entitled to proportionate leave. If he/she has enjoyed more leave during that leave year than he/she is entitled to at the date of him/her leaving the service then he/she will be required to refund salary. The rate at which he/she refunds salary shall be that at which he/she was paid for the number of working days leave enjoyed in excess of what he/she was eligible to receive (the number of days for which salary is to be refunded shall be treated as leave without pay for pension purposes).

# Duty Visit

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**1. The superior officer to submit a request for a subordinate to go on a duty visit**

**2. The HR officer to review the application**

The HR officer shall consider the reasons for the visit and who has instructed this.

**3. The Permanent Secretary, MDA to approve the application**

The duration and conditions of the visit are to be agreed.

An officer on a duty visit outside Nigeria shall be granted the following:

- Passage
- Transport
- Estacode allowance
- Local transport allowance outside Nigeria
- Incidental allowance
- Warm clothing allowance (for trips taken during winter. No more than one claim every three years).

When, however, the cost of accommodation or the hotel expenses of an officer travelling abroad is met by the Head of Service, government or institution, the officer shall be entitled to an estacode supplementation allowance.

An officer who with the prior approval of the government, discharges official duties during his/her vacation leave outside Nigeria and away from his/her normal place of residence, may be considered to be on a duty visit and as such receive duty allowance.

An officer for whom accommodation is provided, who discharges official duties during his/her vacation will be eligible for a refund of daily travelling expenses plus a daily subsistence allowance.

**4. The Head of Service to approve the application**

Overseas duty tour and estacode allowance are subject to approval by the Head of Service, on the recommendation of the Permanent Secretary, Establishment and Training

**5. The HR officer to confirm the leave to the officer**

A letter is to be given to the officer. An officer must be briefed on his/her duties and any allowances by his/her Permanent Secretary before departure and informed of these in writing

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**6. The leave letter to be scanned into the HR database/HR MIS and placed against the officer's record**

# Examination Leave, Study Leave and Courses of Instruction

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## Examination Leave

### 1. A request for examination leave to be submitted

This might come from the officer, his/her superior, or the Establishment and Training Department Head of Service.

### 2. The HR officer to review and prepare the application

An officer may be allowed special leave for the purpose of taking an examination, which he/she is required to pass under the conditions of his/her appointment.

An officer may be allowed special leave with full pay to take a non-compulsory examination provided that his/her Permanent Secretary certifies the following:

- That the passing of the examination is likely to enhance his/her value to the Service
- Evidence of admission to the course
- Evidence of the examination timetable.

### 3. The Permanent Secretary, MDA to approve the application

The length of the leave and any associated conditions are to be agreed in advance. Where an officer is permitted on the recommendation of his/her Permanent Secretary to take a course of instruction at the officer's own request, special conditions may be imposed. These special conditions shall be determined by the Permanent Secretary, Establishment Matters.

### 4. The HR officer to confirm the examination leave to the officer in writing

### 5. The leave letter to be scanned into the HR database/HR MIS and placed against the officer's record

## Study Leave

### 1. A request for study leave to be submitted

This might come from the officer, his/her superior, or Head of Service, Establishment and Training Department.

### 2. The HR officer to review the application

Study leave can only be granted to confirmed serving officers, undertaking an approved course of study.

Types of study leave include:

- In-service training
- Study leave with pay
- Study leave without pay.

The type of study leave is determined by the Permanent Secretary, MDA, provided he/she has certified the following:

- Evidence of a letter of admission
- Evidence of the length of the course
- That the course is necessary to enhance the performance of the officer and to add value to the Service
- That the course is relevant to the officer's profession.

In-service training should not exceed a period of two years with normal emoluments, allowances and course fees. The period of study shall count towards gratuity and pension.

Study leave with pay shall be granted to an officer with normal emoluments and allowances. The length of the study leave should not exceed two years. If an extension is required this should not exceed an additional one year (this shall also attract pension, right of emoluments and allowances).

Officers may be granted study leave without pay, where the proposed course of study is not in the approved training proposals of the MDA. Study leave without pay means without pay, emoluments or allowances. The length shall not be more than four years in the first instance. If an extension is required this should not exceed an additional one year. The period of study shall not be regarded as a break in service.

Consideration shall be given to the officer's APER, identified training needs, anticipated priority and or value of the course, the cost and how the officer should be expected to perform differently on his/her return to the office.

### **3. The HR officer to confirm the study leave to the officer**

N.B. A letter is to be given

### **4. The leave letter to be scanned into the HR database/HR MIS and placed against the officer's record**

## **Courses of Instruction Within Nigeria**

### **1. The officer to submit an application to attend a course of instruction within Nigeria**

This is a course which an officer takes locally in Nigeria, but outside his/her own station.

### **2. The HR officer to review the application**



Consideration shall be given to the APER, identified training needs, anticipated priority and or value of the course, cost and how the officer will be expected to perform differently on return to the office

### **3. The Permanent Secretary, MDA to approve the application**

The length of the leave and any conditions shall be agreed. In advance.

An officer who is permitted to attend a course of instruction is eligible for benefits, provided he/she has signed an agreement to refund the government all expenses if:

- He/she does not obtain a certificate of satisfactory attendance at the course
- Does not return to Nigeria
- Undertakes another course of instruction without the specific approval of the government
- Resigns from the Service within a period of three years after completing the course.

Officers attending local training courses will be eligible for a training allowance.

Where an officer is permitted, on the recommendation of his/her Permanent Secretary, to take a course of instruction at the officer's own request, special conditions may be imposed, determined by the Permanent Secretary, Establishment and Training.

### **4. The HR officer to confirm the leave to the officer**

A letter is to be given.

### **5. The leave letter to be scanned into the HR database/HR MIS and placed against the officer's record**

## **Courses of Instruction Outside Nigeria**

### **1. A request to attend a course of instruction outside Nigeria to be submitted**

This might come from the officer, his/her superior or the Head of Service, Establishment and Training department.

The application for permission should specify:

- The details of the visit, duty or course proposed
- Why the visit, duty or course is considered warranted in the public interest
- The approx dates on which it is proposed that the officer should arrive in and depart from the country in which the duty or course is to be undertaken
- The officer's address while absent from Nigeria
- The probable duration of the duty or course
- The total estimated cost, including all travel expenses and fees, if any

## **2. The HR officer to review the application**

Consideration shall be given to the APER, identified training needs, anticipated priority and or value of the course, cost and how the officer will be expected to perform differently on return to the office

## **3. The Permanent Secretary, MDA to approve the application**

The duration and conditions for the leave shall be agreed in advance.

An officer undergoing a course of instruction overseas, who receives a salary from an employer in the overseas country, shall not be eligible for any salary or allowances from the government except as may be specifically approved by the Permanent Secretary, Establishment and Training.

An officer who is permitted to attend a course of instruction is eligible for benefits, provided they he/she has signed an agreement to refund the government all expenses if:

- He/she does not obtain a certificate of satisfactory attendance at the course
- Does not return to Nigeria
- Undertakes another course of instruction without the specific approval of the government
- Resigns from the Service within a period of three years after completing the course.

A senior officer sent overseas on a course of instruction will be eligible for free air passage. Her/his spouse may also be eligible for free air passage, but only where the course of instruction is longer than nine months.

Officers who, with the prior approval of the government, attend courses of instruction (other than those with special rates) are entitled to be paid the difference between their normal estacode allowance and the allowance offered by the donor country where the latter is lower than the official estacode.

Where an officer is permitted, on the recommendation of his/her Permanent Secretary, to take a course of instruction at the officer's own request, special conditions may be imposed. Special conditions shall be determined by the Permanent Secretary, Establishment and Training.

## **4. The Head of Service to approve the application**

An overseas course of instruction shall be subject to approval by the Head of Service, following recommendation by the Permanent Secretary, Establishment and Training.

## **5. The HR officer to confirm the leave to the officer**

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A letter shall be given. An officer must be briefed on his/her duties and any allowances by his/her Permanent Secretary before departure and shall be informed of such in writing.

**6. The leave letter to be scanned into the HR database/HR MIS and placed against the officer's record**

### **Courses of Instruction Assisted by a Foreign Government/Technical Assistance Scheme**

**1. Where training opportunities under a foreign government's technical assistance scheme are concerned, all application forms for the nomination of candidates shall be forwarded to the National Planning Commission for processing**

**2. Officers attending courses of instruction under a technical assistance scheme shall continue to receive their salaries and other conditions of service in line with existing arrangements between the donor government and State government**

# Exit

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## Resignation

### **1. An officer to resign by notifying his/her manager/supervisor**

One month's notice or payment in lieu is required for resignation.

Resignation is necessary before running for elective office.

### **2. The officer to submit a formal resignation letter to the HR officer**

### **3. The HR officer to acknowledge receipt of the letter and process the resignation**

An officer who resigns shall forfeit all claims to vacation leave and any vacation leave or passage privileges will be granted *ex gratia*. The officer must refund in full any sum of money owed to the government or which is refundable to the government for him/her not discharging his/her obligations.

All previous pensionable service is forfeited on resignation and cannot be taken into account for pension purposes if the officer is then re-employed (except where a break in service has been condoned by the relevant authority).

An officer leaving the service by resignation shall not be entitled to proportionate leave. If he/she has enjoyed more leave during that leave year than he/she is entitled to at the date of him/her leaving the service then he/she will be required to refund salary. Salary shall be refunded at the rate at which he/she was paid for the number of working days leave enjoyed in excess of what he/she was eligible to receive (the number of days for which salary is refunded will be treated as leave without pay for pension purposes).

### **4. The Permanent Secretary, MDA to be notified of the resignation**

### **5. The Civil Service Commission/Permanent Secretary, Establishment and Training to approve the resignation**

It should be noted that where high performing officers submit their resignations and the circumstances deem it appropriate, efforts should be made to convince the officers to stay.

### **6. The Civil Service Commission and the Establishment and Training department to update the HR database/HR MIS with the leave date**

### **7. The officer's details to be forwarded to the Pensions Office**

### **8. The Pensions Office to review pension eligibility and calculate pension benefits as appropriate**

Officers who have not served five years are not entitled to a gratuity or pension.

**9. The Civil Service Commission and the Establishment and Training department to prepare a letter to the leaving officer with details of any approved pension benefits**

**10. The letter to the leaving officer to be sent to the MDA and the Office of the Head of Service**

**11. The HR officer to give the leave letter to the resigning officer**

**12. The HR officer to update the leaving officer's record of service**

**13. The Office of the Head of Service to arrange an exit interview and for the last day in office**

**14. An exit interview to take place**

An exit interview, using the standard questionnaire from the Office of the Head of Service, shall take place.

**15. The HR officer to prepare a Certificate of Service**

All officers leaving the Service shall be issued with a Certificate of Service.

**16. The Civil Service Commission to approve the Certificate of Service for officers grade GL7 and higher. The Permanent Secretary, Establishment and Training to approve the Certificate of Service for officers grade GL1 to GL6**

All officers leaving the Service shall be issued with a Certificate of Service. Certificates of Service shall be signed as follows:

- Officers grades GL1 to GL6 the, Permanent Secretary, MDA and the Permanent Secretary, Establishment Matters
- Officers grade GL7 and higher, the Permanent Secretary, MDA and the Permanent Secretary, Civil Service Commission.

**17. The HR officer to issue the Certificate of Service to the resigning officer**

The Certificate of Service shall be issued to the resigning officer before he/she goes on leave prior to leaving the Service. If it is appropriate for the certificate to include any adverse comments on the officer's work or conduct the certificate shall be completed and handed to the officer in advance to ensure he/she has sufficient time to appeal/make representations.

## **Retirement**

**1. The Civil Service Commission and the Establishment and Training department to run monthly reports from the HR database/HR MIS to identify officers due to retire in the next 12 months**

**2. The Civil Service Commission and the Establishment and Training department to provide notification to the Permanent Secretaries and HR officers of those officers retiring from their MDAs**

The HR officers in the MDAs shall also have access to run these same reports from the HR database/HR MIS for their MDA and cross-check these names against their own records. If the names in the HR database/HR MIS are not as expected, then appropriate action/data reconciliation needs to take place. The HR database/HR MIS should be updated to show accurately the date when each officer is due for statutory retirement

**3. The HR officer to formally remind the officer of the duty to give sufficient notice of retirement**

Six months' notice is required for non-statutory retirement. Officers have to give three months written notice to retire from the Service before the effective retirement date for statutory retirement.

The compulsory retirement age and/or the number of years of pensionable service to be completed are set by the state. The date of retirement is dependent upon whichever is earlier.

Judicial officers and academic staff of universities and other tertiary institutions may be set different ages for retirement.

Pension forms must be given to each retiring officer in good time to enable him/her to submit them to the HR department of his/her MDA at least six months before he/she is due to retire.

**4. The officer to give notice of retirement**

Where an officer has served for 10 years or more and decides to leave the service in circumstances that entitle him/her to a pension and gratuity, he/she will be deemed to have retired.

**5. The HR officer to process the retirement letter and send it to the Civil Service Commission (for grades GL7 and above) or to the Permanent Secretary, Establishment and Training department for grades GL1 to GL6**

An officer leaving the service because of retirement shall be entitled to proportionate leave. If he/she has enjoyed more leave during that leave year than he/she is entitled to at the date of him/her leaving the service then he/she will be required to refund salary. Salary shall be refunded at the rate at which he/she was paid for the number of working days leave enjoyed in excess of what he/she was eligible to receive (the number of days for which salary is to be refunded will be treated as leave without pay for pension purposes). This provision is waived for officers who have died in service.

The completed pension form and updated Record of Service, with a statement of any debts owed, should be forwarded to the Pensions Office at least three months before the officer is due to retire.

**6. The HR database/HR MIS to be updated with the leaving date by the Civil Service Commission for officers in grades GL7 and above and by the Establishment and Training department for officers in grades GL1 to GL6**

The Establishment and Training department is to be informed of all resignations to ensure the timely facilitation of pre-retirement training.

**7. The officer to attend a mandatory pre-retirement workshop/seminar**

Three months prior to retirement, officers should proceed on a mandatory pre-retirement workshop/seminar. For their remaining time, the retiring officers are expected to take the necessary measures to put their records straight to facilitate the speedy processing of retirement benefits.

**8. The officer's details to be forwarded to the Pensions Office**

**9. A leavers letter, with details of approved pension benefits, to be prepared by the Civil Service Commission for officers in grades GL7 and higher and by the Establishment and Training department for officers in grades GL1 to GL6**

**10. The leaver letter to be sent to the MDA and the Office of the Head of Service**

**11. The HR officer to give the leaver letter to the retiring officer**

**12. The HR officer to update the Record of Service**

**13. The Office of the Head of Service to arrange an exit interview and the last day in office**

**14. An exit interview to take place**

An exit interview shall take place using the standard questionnaire from the Office of the Head of Service.

**15. The HR officer to prepare the Certificate of Service**

All officers leaving the Service shall be issued with a Certificate of Service.

**16. The Certificate of Service to be approved by the Permanent Secretary, Civil Service Commission for officers in grades GL7 and higher and by the Permanent Secretary, Establishment and Training department for officers in grades GL1 to GL6**

All officers leaving the Service shall be issued with a Certificate of Service. Certificates shall be signed as follows:

- Grades GL1 to GL6, by the Permanent Secretary, MDA and the Permanent Secretary, Establishment Matters (form Gen 58A)
- Grades GL7 and above, by the Permanent Secretary, MDA and the Permanent Secretary, Civil Service Commission (form Gen 58).

### **17. The HR officer to issue the Certificate of Service**

The Certificates of Service shall be issued to the officer before he/she goes on leave prior to leaving the Service. If it is appropriate for the certificate to include any adverse comments on the officer's work or conduct the certificate must be completed and handed to the officer in advance to ensure that he/she has sufficient time to appeal/make representations.

### **18. Leaver exit interview data to be analysed and trends presented to the Personnel Management Board on an annual basis**

## **Redundancy**

### **1. A decision taken to withdraw a particular job or set of jobs**

This decision shall come from a superior officer, the Permanent Secretary, Head of Service, or Executive Committee or be proposed by the HR officer as the result of a workforce planning exercise.

### **2. The HR officer to work with the Establishment and Training department to establish the case for redundancy**

Redundancy is the termination of employment, caused by the need to reduce the workforce. It is the result of a strategic decision taken to withdraw a particular job or set of jobs, regardless of who is in those jobs and the quality of their work. As such it is about jobs, not people.

Genuine reasons for redundancy might include the following:

- A new technology or a new system is introduced which makes a particular job or group of jobs unnecessary
- The job the officer was employed to do no longer exists
- There is a need to cut costs and look for more efficient ways of working, resulting in a need to reduce staff numbers
- A particular unit or MDA is being restructured, moved or closed down.

### **3. Extended consultation to take place in conjunction with the unions**

Government officials are required to consult with the appropriate representatives of any of the officers who may be affected (directly or indirectly) by the proposed redundancies or by any measures taken in connection with those redundancies.



The consultation shall include ways of avoiding the redundancies, reducing the number of officers to be made redundant and mitigating the effects of the redundancies. The purpose of the consultation is to reach agreement with the appropriate representatives on these issues and to help those put at risk of redundancy understand why and how they were selected.

#### **4. The affected officers to be put 'at risk' of redundancy for a defined period**

Once a specific job or group of jobs have been identified as being 'at risk', evidence will be provided to explain why these jobs must cease before the redundancy can be confirmed.

Where the size of the workforce performing a set of similar roles is to be reduced all those performing these jobs shall be identified as being 'at risk' and pooled. A set of criteria will then be consistently applied to all officers within this pool to determine which officers in this 'at risk' group shall be made redundant. Examples of selection criteria for pooled officers might include:

- Length of service and attendance record
- Disciplinary record
- Skills or experience
- Standard of work performance
- Aptitude for work
- Formal qualifications and advance skills.

#### **5. Efforts to be made to find all those 'at risk' alternative roles within the Service**

Where possible 'at risk' officers with skills required by other parts of the Service will be redeployed to fill these gaps as an alternative to redundancy. Information on available vacancies will come from the workforce planning process.

#### **6. Managers to work with their HR officers to select individual officers for confirmed redundancy, according to guidelines agreed as part of consultation process**

#### **7. Officers 'at risk' to be confirmed as redundant or no longer 'at risk'**

#### **8. Officers confirmed as redundant to be given formal leaver letters and Certificates of Service**

Any officer whose post is made redundant shall be asked to leave the Service.

Officers confirmed as redundant shall be given three months' paid notice and receive a redundancy payment in line with the statutory requirements.

Should an officer be confirmed as redundant, it may be considered more appropriate for him/her to be compulsorily retired, subject to the rules regarding pensions, gratuities and other benefits.

# Grievance

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## **1. The officer to meet with a superior officer to informally raise the issue**

Depending on the seriousness of the issue, it is expected that prior to the initiation of the grievance process the problem areas will be discussed between the supervisor and the officer. These meetings are meant to be coaching sessions where specific concerns are brought to the attention of the staff member and where expectations are outlined with the intent of achieving significant improvement. The officer should be given sufficient time, tools and support to achieve these goals. Notes should be kept on file specifying the dates and reasons for the meeting(s) and a follow-up date for a meeting is established.

## **2. The officer to submit a formal grievance to the HR officer and the Permanent Secretary of the MDA**

If the grievance is sufficiently serious or relates to a superior officer then a grievance should be formally submitted directly to the HR officer, without any expectations that informal discussions with the superior officer should first take place.

The grievance statement should contain relevant details of grievance and the officer(s) involved together with the desired outcome(s).

## **3. The HR officer to review details of the grievance and prepare a report for the appropriate disciplinary board**

The HR officer shall confirm that the issue is actually a grievance and not an appeal, and specifically indicate that the officer is seeking redress for issues relating to their employment which fall outside the normal decision making appeals process e.g. sexual harassment, discrimination, bullying and victimisation.

If the grievance is actually an appeal, the letter should be forwarded to the Chairman, Civil Service Commission or the Head of Service, as appropriate.

## **4. The grievance to be discussed at an appropriate disciplinary board meeting and an investigation board assigned**

N.B. The 'Board of Inquiry' must be approved by the Civil Service Commission (for senior officers) and must consist of not less than three people, one of whom shall be appointed Chairperson. The Board shall take into consideration the status of the officer in question and the nature of the complaint. The Head of the officer's department shall not be a member of the board.

Given that sensitive issues are likely to be raised it is not expected that the officer will be asked to present himself/herself before the disciplinary board.

## **5. Board to investigate**

N.B. The Board should typically meet first with the officer raising the complaint to give him/her the opportunity to explain the grievance and desired outcome. The officer shall be accompanied to any meeting with the Board by his/her HR officer and the union representative, if desired.

The Board should then meet with any other relevant witnesses.

The officer may be called upon to state in writing, within a specific time period, any additional grounds he/she thinks should be considered.

## **6. The Permanent Secretary, MDA to approve the grievance outcome and any associated recommendations**

## **7. The Permanent Secretary, MDA to forward the grievance outcome to the Permanent Secretary, Civil Service Commission for approval for officers in grades GL7 and above**

## **8. The officer to receive details of the confirmed grievance outcome**

The officer shall receive a letter confirming whether the grievance was upheld or rejected, the outcome of the grievance and the reasons for this outcome.

The grievance outcome letter shall not include details of any pending disciplinary action, which may become necessary if the grievance is upheld, for the specifically named officer(s). The Personnel Management Board has a duty of care not only to the victim(s) of any grievance, but also to those subject to disciplinary action.

# Job Classification

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**1. The HR officer to continuously review and redefine the required functions of a job and/or reflect changes in the duties of a position as the needs of the department Heads change**

**2. The HR officer to work with the key managers on job classifications**

Factors, such as the scope and level of the duties and responsibilities, the relationship of the position to other positions and decision making autonomy shall be assessed when job are being classified.

**3. Detailed job descriptions to be developed for each role in every department**

These job descriptions shall also take into account new procedures and technology as processes become more automated.

**4. Job descriptions to be approved by the Permanent Secretary, MDA**

**5. Job descriptions for senior positions to be approved by the Civil Service Commission**

**6. Job descriptions to be used on an ongoing basis by the appropriate appointment or promotion agency**

Job descriptions shall be used:

- In recruitment and selection
- In promotion interviews
- To facilitate development of performance standards and APERS
- To formally assign responsibilities against which individual officers can be held accountable.

# Maternity Leave

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## **1. The officer to inform the HR officer of pregnancy**

A medical certificate showing the expected due date must be presented not less than three months before that date.

## **2. The HR officer to prepare the maternity leave letter**

If, during the course of her pregnancy, the officer's condition interferes with the efficient performance of her duties she may be given lighter duties at management's discretion.

## **3. The Permanent Secretary, MDA to approve the maternity leave letter**

## **4. The HR officer and manager to meet with the pregnant officer one month before her expected due date**

In this meeting, contact details while she is out of the office shall be collected and plans made for handover of her duties. The officer shall be given a letter confirming the period of her maternity leave.

Any disciplinary proceedings against the officer shall be postponed until after her maternity leave has expired.

Any female officer undertaking a training course of up to six months shall be asked to refund the whole or part of the cost of the course in the event that she elects to withdraw from the course before it is completed.

## **5. The officer to go on maternity leave**

Annual leave for that year will be regarded as maternity leave. Pregnant female officers are entitled to 16 weeks maternity leave on full pay. Where annual leave has already been enjoyed before the granting of the maternity leave, a period equivalent in length to the annual leave shall be without pay.

Maternity leave is inclusive of Saturdays, Sundays and Public Holidays.

## **6. The leave letter to be scanned into the HR database/HR MIS and placed against the officer's record**

## **7. The HR officer and superior officer to meet with the officer in the first week of her return to work**

This meeting shall discuss changes and key events that have occurred in the officer's absence, arrangements for nursing the child and the immediate duties and priorities of her job.

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Any female officer nursing a child shall be granted two hours off duty every day, for a maximum of six months from the day that she resumes duty.

# Mentoring

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## **1. The HR officer to identify the specific need for mentoring**

This need shall be identified through the talent mapping process, succession planning, career planning, APER review and conversations with department Head.

## **2. The HR officer to prepare a mentoring proposal**

The proposal shall identify:

- Specific mentoring needs (i.e. the skills and experience that need to be developed)
- Those officers who have these skills and experience who might be able to fill this need
- The proposed frequency of meetings
- The length of the mentoring period.

## **3. The Permanent Secretary, MDA to approve the proposed mentoring 'contract'**

## **4. The Civil Service Commission to approve the proposed mentor for senior officers**

## **5. The Permanent Secretary, MDA to write to the proposed mentor and invite him/her to participate in the mentoring programme**

## **6. The structured mentoring to take place**

## **7. The HR officer to interview the mentor and mentee at end of the defined mentoring period**

The interview shall assess learning that has taken place and potential next steps.

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# Non-Pensionable Short Term Appointment

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## **1. The HR officer to identify any specific need for a part-time or temporary post**

The need for a part-time or temporary post may be identified by the workforce planning process.

## **2. The HR officer to draft a short term appointment proposal**

The HR officer shall work with the relevant Department Head to draft a job description.

## **3. The Permanent Secretar, MDA to approve any short term appointment**

The MDAs are authorised to recruit people to part-time or temporary posts for a period up to a maximum of three months at a time.

## **4. The suitable candidate to be identified with the help of the Civil Service Commission**

## **5. An appointment letter to be issued**

Appointment to a short term position is governed by the rules outlined in the appointment letter.

## **6. The officer to begin work under the supervision of an approved manager**

The HR officer and the Department Head shall identify an appropriate officer to manage the work of the temporary appointee.

## **7. The Permanent Secretary, MDA to terminate short term temporary appointments**

The Permanent Secretary, MDAs is authorised to terminate short term temporary appointments in accordance with the terms of the appointment



# Paternity Leave<sup>2</sup>

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## **1. The officer to inform the HR officer of the pregnancy of his spouse**

A medical certificate to confirm the pregnancy of the spouse and showing the expected due date shall be submitted not less than three months before the due date. A marriage certificate may also be submitted.

## **2. The HR officer to review the application and draft the paternity leave letter**

An officer who has or expects to have responsibility for his child's upbringing, is entitled to a maximum of five consecutive days paid paternity leave, providing he meets the following criteria:

- He is the biological father of the child
- He is the mother's husband or partner and expects to have responsibility for the child's upbringing.

The leave can start on any day of the week on or following the child's birth, but must be completed within 30 days of the actual date of birth of the child. Paternity leave cannot be taken after this date.

Only one period of paternity leave is available to an officer irrespective of whether more than one child is born as the result of the same pregnancy. A male officer is not entitled to more than one weeks' paternity leave in a single calendar year. An officer wishing to spend time with additional children born in the same calendar year shall use part of his annual leave for such a purpose.

## **3. The Permanent Secretary, MDA to approve the paternity leave letter**

## **4. The HR officer to meet with the officer before he takes up the leave**

A paternity leave letter shall be issued

## **5. The officer to go on paternity leave**

## **6. The leave letter to be scanned into the HR Database/HR MIS and placed against the officer's record**

## **7. The officer's manager/supervisor to confirm officer's return from paternity leave to the HR officer**

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<sup>2</sup> It is recognised that 'paternity' leave will be considered inappropriate in parts of Nigeria

# Petitions and Appeals

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## **1. Formal appeals against decisions taken regarding an officer's employment to be made to his/her immediate superior officer and the Permanent Secretary, MDA**

Petitions and appeals relating to appointment, promotion, transfer or discipline shall be addressed to the Chairman, Civil Service Commission.

Petitions and appeals relating to other conditions of service – e.g. leave, passengers allowances, pensions, gratuities, etc. – shall be addressed to: the Head of Service.

## **2. The HR officer to review the appeal**

Petitions shall be submitted in duplicate, with an advance copy sent directly to the appropriate authority. One copy shall be retained by the Permanent Secretary, MDA. Petitions must bear the name, staff number, signature and address of the petitioner. She/he should conclude by stating concisely the nature of the redress sought. A petition will not be entertained if:

- It is not made through the proper channels
- It deals with a case in which legal action is pending in a court of law
- It is illegible or meaningless
- It is anonymous
- It is abusive, improper or uses foul language
- It represents the substance of an earlier petition without introducing any new grounds or evidence.

Any officer may petition the Head of Government. Such an appeal shall be sent in an unsealed envelope, via the proper channels – Chairman, Civil Service Commission or the Head of Service – with a an additional copy to be forwarded to His Excellency.

A petition is a formal appeal to the Head of Government for special consideration of a matter affecting an officer personally.

All officers shall, as much as possible, exhaust all the avenues for redress provided for in the Civil Service Rules and Circulars before proceeding to the courts.

A petition submitted more than six months after the decision being complained of has been given shall not be entertained, unless such a delay is supported by valid reasons.

**3. The Permanent Secretary, MDA to forward the petition with comments and recommendations to the Chairman, Civil Service Commission or the Head of Service as appropriate**

**4. The Civil Service Commission or the Head of Service to investigate the petition**

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**5. The Permanent Secretary, MDA to be notified of the petition's outcome**

**6. The officer to be informed in writing whether the petition has been upheld or rejected**

# Probation and Confirmation

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## **1. The officer on first appointment to a pensionable post to be appointed on probation**

All first appointments to pensionable posts shall be on probation. Trainee posts shall not be on probation.

## **2. An officer appointed on probation to be closely managed by her/his superior officer**

An officers appointed on probation shall be required to serve for two years before being confirmed in the service. This period may ,however, be reduced to not less than six months by deducting any previous period of satisfactorily rendered service in posts of equivalent status and involving similar duties.

The period of probation shall not exceed two years unless the Civil Service Commission approves such an extension.

Particular attention should be paid to the assessment of officers on probation. A full record of their work, conduct and capabilities shall be maintained. Permanent Secretaries are responsible for rendering progress reports on senior officers, at six monthly intervals, to the Civil Service Commission with effect from first date of appointment.

The final Progress Report should be submitted not later than two months before the end of the probationary period. All appraisals are private and confidential.

If an officer relinquishes his/her appointment during probation he/she may be required to refund any expenditure by the government for transporting him/her and his/her family to or from the place from which he/she was engaged. He/she will also not be entitled to any support from the government towards transport from their current station to their new station.

## **3. An officer to take his/her confirmation examination**

During the probationary period an officer is required to pass a prescribed examination appropriate to his/her appointment:

- For senior posts, examinations detailed in the Civil Service Rules and/or other such examinations may be specified in the individual offers of appointment
- For clerical grade officers, confirmation examinations shall be taken once a year
- Examinations for technical grades are those prescribed in the Scheme of Service applicable to the post

To be eligible for confirmation, an officer is required to pass the prescribed examination, if any, and complete his/her probationary period to the satisfaction of the authority empowered to appoint the officer.

The relevant Examination Board appointed by the Head of Service is responsible for the general policy, conduct and supervision of the examinations.

An officer who fails to pass the specified examination within the time-limits quoted in the Rules is liable to have his/her probationary period terminated, or confirmation deferred.

An officer who has not passed his/her confirmation examinations is not eligible to be considered for promotion.

An officer who fails the confirmation examination after four years from the date of first appointment shall be required to resign from the Service.

Confirmation examinations are held once a year in the last quarter of the year.

Combined confirmation/promotion examinations shall be held for clerical officers, clerical assistants, technicians and messengers. The tests shall be held twice a year. The passing marks for the different criteria shall be:

- For confirmation: a 50% average with a minimum score of 50% in English and minimum scores of 40% in each of the other subjects
- For promotion: a 65% average with a minimum score of 50% in English and minimum scores of 40% in each of the other subjects
- For accelerated promotion: a 75% average with a minimum score of 50% in English and minimum scores of 40% in each of the other subjects

The compulsory examination for administrative officers and professional officers must be passed within two years from the date of first taking up the appointment in the Service. The prescribed examinations shall include ones in Law and Official Publications.

Compulsory examination for executive officers must be passed within two years from the date of taking up the appointment in the Service. The prescribed examinations shall include ones in Civil Service Rules and Financial Regulations.

Departmental advancement and confirmation tests shall be held once a year for the clerical cadre.

#### **4. The superior officer to make a confirmation recommendation to the HR officer**

Recommendation shall be based on:

- APER
  - Medical clearance
  - A MDA character reference

## **5. The Permanent Secretary, MDA to approve the recommendations**

Subject to meeting probation requirements, an officer shall be confirmed after two years on probation unless the recommendation of the superior officer is to terminate or extend the contract.

An officer shall be recommended for confirmation once the necessary conditions are satisfied without waiting for a security clearance.

## **6. The Permanent Secretary, MDA to forward the confirmation recommendation for senior officers in grade GL7 or above to the Civil Service Commission for approval**

The Permanent Secretary, MDA shall submit a progress report on the officer. The final progress report for a senior officer shall be submitted to the Civil Service Commission after 21 months' service with a recommendation as to whether the appointment should be confirmed or terminated.

If it is established by a relevant authority (Permanent Secretary, MDA for junior officers and the Civil Service Commission for senior officers) that an officer is not qualified or fit for service his/her appointment may be terminated by that authority at any time without any further compensation other than free transport to the place from which he/she was engaged. Such free transport shall be granted only if his/her conduct is considered 'good'.

If termination is not the consequence of misconduct, one month's notice shall be given and any outstanding leave may be granted together with (if desired) normal vacation leave transport in lieu of free transport to the place from which the officer was engaged. Such leave should be taken within the notice period and, if possible, expire on the same day as the notice.

An officer on probation, who fails to secure confirmation in the pensionable establishment at the expiration of their probation period, including any extension thereof, may be subject to termination.

## **7. The HR officer to inform the officer of outcome of his/her probation**

Where an officer is confirmed before security clearance given, this will be subject to the clearance outcome, with appropriate disciplinary action, up to and including dismissal, for officers who fail to obtain the security clearance.

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# Public Policy Leave of Absence

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## **1. The Permanent Secretary, MDA to approve a leave of absence for an officer on account of public policy**

The types of public policy leave of absence include:

- Joining a spouse on a course of instruction of more than nine months abroad
- Participating in a technical aid programme
- For a special/personal assistant
- For the spouse(s) of the Governor and Deputy Governor

## **2. The Permanent Secretary, MDA to forward a recommendation and justification to the Head of Service for approval**

## **3. The Head of Service to approve or not approve the recommendation**

## **4. The officer to be given confirmation of the leave of absence in writing**

Where leave of absence is given to join spouse abroad on a course of instruction the officer will be eligible for free passage at the government's expense.

On the grounds of public policy, the spouse of a serving officer may be granted leave without pay for a period not exceeding five years to enable him/her to join his/her spouse on a posting abroad. This is subject to certain conditions, such as:

- Not taking up employment abroad
- Such leave shall not be regarded as a break in service
- She/he shall be eligible for advancement when additional qualifications are acquired
- The period on leave of absence shall be four years in the first instance and subject to an extension of not more than one year.

# Recruitment

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## **1. The Permanent Secretary, MDA to request permission to recruit staff from the Head of Service**

The request shall be based on the workforce plan. The request is required to capture the associated personnel budget.

## **2. The Head of Service and appropriate authorities to approve the annual hiring plan and the associated personnel budget**

The following are the approval channels

- For appointments to grades GL1 to GL6, the Permanent Secretary, Establishment and Training
- For appointments to grades GL7 to GL14, the Permanent Secretary, Civil Service Commission
- For appointments to grades higher than GL14, the Permanent Secretary, Civil Service Commission and the Head of Service.

## **3. Ministry responsible for the budget to release the approved personnel budget**

The ministry responsible for the budget and the MDA shall run monthly reports to track the MDA spend against budget and to track the progress of the hiring plan.

## **4. The HR officer to draft a detailed job description for each role in the hiring plan**

Development of the job description shall be based on discussions with department heads.

## **5. The job descriptions to be approved by the Permanent Secretary, MDA**

## **6. The approved job descriptions to be submitted to the Civil Service Commission, Permanent Secretary, Establishment and Training and/or the Head of Service, depending on the level of hire**

The job descriptions shall be used to advertise for specific roles and as a basis for considering whether any existing officers within the Service (but in other MDAs) might be able to fill these skills gaps through redeployment or transfer. Also, the job descriptions shall be used later to help managers draft SMART objectives and in promotion interviews.

## **7. Specific roles to be advertised for by the Permanent Secretary, Civil Service Commission (for vacancies in grades GL7 and above) or by the Permanent Secretary, Establishments Matters (for vacancies in grades GL1 to GL6)**

These activities shall be targeted based on discussions with the MDA Personnel Management Board.



Advertisements for vacancies in grades GL12 to GL14 shall be advertised by the Permanent Secretary, Civil Service Commission as need arises.

All vacancies in grades GL15 to GL17 shall be advertised.

#### **8. Candidates to apply for specific roles**

Each candidate shall submit a formal application letter.

The information to be declared by all applicants shall include:

- Whether he/she has been convicted of a criminal offence
- All employment engaged in, the reasons for leaving and any contractual obligations to their present employer
- Any financial embarrassment.

#### **9. Applicants to be screened by the Permanent Secretary, Civil Service Commission (for vacancies in grade GL7 and above), the Permanent Secretary, Establishment and Training (for vacancies in grades GL1 to GL6) and the Head of Service (for vacancies in grades GL15 to GL17)**

Eligible candidates shall be identified. The requirements for appointment to the Service are that they shall:

- Satisfy the age range specified by the State policy on age for employment
- Meet the minimum requirements and qualifications outlined in the Schemes of Service
- Be certified as fit for service by the state government Medical Officer
- Provide references as appropriate from previous employers or the last school/college attended

#### **10. Candidates who possess the qualifications outlined in the job descriptions to be invited to take the relevant selection tests**

The selection tests shall be appropriate for the role advertised.

#### **11. Candidates who pass the selection tests to be interviewed by the appropriate appointment or selection board**

Structured interview questions shall be prepared by the HR officer based on the job description provided.

## Selection

### **1. First, second and third choice candidates to be identified**

The representatives of the Civil Service Commission, Establishment and Training department and the Office of the Head of Service can provide significant inputs at this point for the relevant grades they are responsible for.

Reasons for the proposed appointment/rejection shall be documented by the Personnel Management Board.

### **2. The Permanent Secretary, MDA to approve the choice of proposed candidates**

**3. The Permanent Secretary, MDA to forward recommendations for candidates for vacancies in grades GL 7 to GL14 to the Permanent Secretary, Civil Service Commission and to the Permanent Secretary, Civil Service Commission and the Head of Service for candidates for vacancies in grades GL15 to GL17**

Additional approvals shall be required by Civil Service Commission if a candidate has been:

- Convicted of a criminal offence
- Previously employed in the Service and dismissed or called upon to retire.

**4. The Permanent Secretary, Civil Service Commission (together with the Head of Service for posts in grades GL15 to GL17) to approve senior appointments (grades GL7 and above)**

## Appointment

**1. Successful candidates to be informed of the proposed appointment in writing by the Permanent Secretary, MDA (grades GL1 to GL6), the Permanent Secretary, Civil Service Commission (grades GL7 to GL14), or the Permanent Secretary, Civil Service Commission and the Head of Service (grades GL15 to GL17)**

The standard Conditions of Service shall be formally outlined in a letter of appointment.

The employment of unpaid staff is prohibited.

A direct appointment to the Service may be given for the following categories:

- Trainees or pupils
- An appointment on probation in a pensionable post
- Appointment on a non-pensionable contract to a non-pensionable post
- An appointment against a pensionable post for a specified period
- An acting appointment
- All first appointments on a probationary basis to pensionable posts.

Trainee appointments shall be for a maximum of two years. The purpose of such an appointment shall be to expose the candidate to additional professional experience before he/she can be regarded as qualified for a specified post. A confirmed officer advanced to a training grade will be treated as seconded for the duration of their training period.

## **2. The successful candidate to return a letter of acceptance**

### **Joining**

**1. The acceptance letter to be scanned into the HR database/HR MIS by the Civil Service Commission, Establishment Matters or the Head of Service (depending on the grade level of appointment)**

**2. A start date to be agreed and entered into the HR database/HR MIS**

An officer's increment date (start date) should be the first day of the month in which the officer begins his/her appointment.

**3. All officers to attend a service wide induction programme and to complete the required forms and submit original documents for authentication**

All officers shall be required to complete the necessary establishments form(s). A copy of each form shall be attached to the appropriate documents forwarded to the State agency responsible for Establishments, the Pension Fund Administrator, the State Pension Commission and other relevant offices/departments, including the Central Staff Records Office and the Office of the Accountant General.

It is the duty of every Permanent Secretary to ensure that all officers and temporary staff sign the Oath of Secrecy Form 1, a copy of which shall be kept on record.

Membership of a secret society is prohibited to all civil servants. All newly appointed officers shall immediately renounce any membership in any secret society and be prepared to make a statutory declaration to that effect or face appropriate disciplinary action, up to and including dismissal.

**4. Personal details to be entered into the HR Database/HR MIS (Establishment Matters dealing with officers in grades GL1 to GL 6 and the Office of the Head of Service dealing with officers in grades GL7 to GL 17)**

The date of birth of any officer as recorded on appointment shall not be changed throughout the officer's career.

**5. The officer to be posted to the Parent MDA by the Office of the Head of Service (Service Matters Department)**

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**6. The original documents to be reviewed and approved by the Permanent Secretary, MDA ( for grades GL1 to GL6) or the Permanent Secretary, Civil Service Commission (grades GL7 and above) and scanned into the HR database/HR MIS**

The documents shall include birth certificate, driving license, marriage certificate(s) and university degrees. Once these documents have been approved they should be stamped, signed by the relevant authority and scanned into the HR database/HR MIS. These approved documents will then be accessible to all approved HR officers throughout the period of an officer's service for easy access and reference.

### **Induction**

**1. On arrival in the MDA, the HR officer to introduce the new recruit to his/her superior officer and outline MDA specific induction activities**

N.B. The induction responsibilities of an officer and his/her superior officer shall be clearly outlined in the MDA induction pack to ensure adequate on-the-job training.

# Redeployment

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**1. HR officers to collate redeployment information based on career planning, workforce planning, succession planning, talent mapping and development discussions with department heads**

The following specific information shall be collated:

- A list of officers (including cadre, grade, skills and experience) wishing to be redeployed to other MDAs, with a justification based on the need for specific skills development
- A list of roles/specific skills gaps identified within the MDA which needs to be filled as part of the workforce planning process
- A list of officers who are critical to succession planning for the MDA and who should not be redeployed, including specific reasons.

**2. The HR officer to submit a deployment report to the appropriate appointment board or the Civil Service Commission for discussion**

**3. The Permanent Secretary, MDA to approve proposals**

**4. The redeployment submissions to be made to the Office of the Head of Service**

**5. Submissions from individual MDAs to be considered by the Office of the Head of Service**

**6. The appointment board or Civil Service Commission to review proposed redeployments and submit any necessary comments to the Permanent Secretary, Office of the Head of Service**

**7. The Permanent Secretary, Office of the Head of Service to issue redeployment letters to the MDA**

**8. The HR officers to distribute the redeployment letters to the individual officers**

Every officer shall discharge any duties assigned to him/her by the government and accept liability for being stationed wherever their presence is considered most useful.

**9. The HR database/HR MIS to be updated accordingly**

**10. The officers being redeployed to ensure an adequate handover of duties**

**11. A release letter to be issued by the HR officer on completion of the handover**

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## Reward for Outstanding Service

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### **1. The HR officer to submit to the Permanent Secretary, MDA nominations for outstanding service rewards**

The APER and personal knowledge of the officers shall be used in discussions with managers.

Each recipient shall be considered as the best on the basis of outstanding performance of duties and exemplary conduct during the year.

Each MDA may make such an award annually to deserving officers. department heads shall review and approve each nomination.

An officer who has served continuously for a minimum of 15, 25 or 35 years with a good record of service shall be eligible for a certificate of merit and an award in-kind commensurate with his/her length of service.

### **2. The Permanent Secretary, MDA to approve the nominations**

### **3. The officer to be given an outstanding service award**

The award may be in the form of a certificate, medal or a gift of cash or in-kind.

# Sabbatical Leave

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## **1. Application for a sabbatical leave by an officer, grade GL15 or above, to be made to the Permanent Secretary, MDA**

The purpose of the sabbatical for an officer on grade GL15 or above shall be for the purpose of research within or outside Nigeria. The area of research must be in the interests of the Service or national development.

## **2. The HR officer to review the grounds for the request and the performance record of the officer**

The request shall also be discussed with officer's immediate supervisor. There must be strong grounds, which are in the interests of the Service, for an officer to be granted a sabbatical leave.

## **3. The Permanent Secretary, MDA to approve the request**

The sabbatical can be taken for a period of up to 12 months for every 5 years of service.

## **4. The Permanent Secretary, Civil Service Commission to approve the request**

## **5. The HR officer to issue the sabbatical leave letter**

The letter shall contain details of the specific expected objectives and outputs of the sabbatical leave which will be submitted on return to the Service

## **6. The leave letter to be scanned into the HR database/HR MIS and placed against the officer's record**

# Sickness

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## Absence from Duty on Account of Sickness

### 1. The officer to notify his/her superior officer of sickness

An officer absent from work on the grounds of ill health shall be required to notify his/her superior officer not later than his/her expected start time on the first day of absence.

Every officer has a duty to immediately report to his/her superior officer any sickness. He/she will then be advised:

- To seek medical advice immediately
- Absent himself/herself from duty without a medical certificate for a specified period (not exceeding two days).

Every officer has a duty to seek and comply with medical advice.

Where an officer is so ill he/she cannot physically present himself/herself for medical examination, his/her whereabouts and circumstances must be reported by the MDA to the nearest government hospital. The Medical Officer will arrange for the patient to be brought to the hospital or shall visit the officer to examine him/her.

When a staff member or member of his/her family is compelled to seek private medical treatment in the absence of a Medical Officer, he/she will be responsible in the first instance for the fees payable. If however, the Permanent Secretary recognises the need for such services he/she may consider a refund for these services at a rate he/she considers fair and reasonable.

When an officer receives a prescription from a Medical Investigation Officer in a government hospital, but is unable to obtain the drugs from a government hospital, he/she shall, on application to the Permanent Secretary, be reimbursed the cost of purchasing the drugs elsewhere.

### 2. The superior officer to make enquiries to determine the cause of absence if an officer's absence from duty is not explained within 12 hours

### 3. Officers absent from work for more than two days to submit an Excuse Duty certificate from a government Medical Officer

The Excuse Duty certificate should not exceed three days in the first instance.

Types of medical certificate that shall be presented include:

- Excuse Duty certificate
- Light Duty certificate
- Medical/Duty certificate issued by a government Hospital.



Officers must get certificates from a Medical Officer. These certificates may be obtained either by direct examination or by forwarding to the Medical Director a detailed sickness report by a private practitioner. Officers who choose to be treated by a private practitioner will bear the cost of this treatment themselves.

Unless absence from duty through illness is covered by admission to a government hospital, by departmental authority or an Excuse Duty Certificate, the officer shall be considered as being absent without leave.

The period of an Excuse Duty or Light Duty certificate shall not exceed three days in the first instance unless the government Medical Officer has examined the patient (in which case the period can be up to seven days in the first instance). The maximum number of days of sick leave which may be allowed on such certificates is 31.

Officers who elect to receive private medical treatment shall submit their practitioner's report to a government Medical Officer who will consider the report findings and issue a certificate (if any).

The Medical Officer will advise the MDA when the officer is admitted to or discharged from hospital, when the officer refuses to carry out or is neglecting to carry out medical advice, or when the officer is feigning ill health.

An officer on vacation leave prevented from resuming duty at the expiration of the leave on the grounds of ill health, as certified by a Medical Officer, may be granted an extension of leave.

All medical certificates, reports and records shall be treated as strictly confidential.

Fees for certain medical examinations shall be paid by the State government.

#### **4. An officer not fit for duty after 31 days sick leave shall be examined by the government Medical Board**

This rule shall not apply when an officer has been admitted to a government hospital unless the period exceeds three months – after which time a Medical Board shall be held.

It is the responsibility of the Permanent Secretary of the officer's MDA to appoint a Medical Board as needed.

The report by the government Medical Board shall be submitted to the government and may be communicated to the officer concerned at the discretion of the Medical Officer.

The officer shall be informed at the earliest possible date of the decision reached upon his/her case by the government after consideration of the report. If the officer is dissatisfied with the decision reached, he/she is able to make representations to this effect, in which

case the government shall decide, at its discretion, whether any further medical evidence shall be called for.

An officer may be granted leave by his/her Permanent Secretary for the purpose of visiting a medical specialist or dentist, but only if it is certified by the government Medical Officer that he/she is unable to deal with the case and that the health of the officer will be affected if the consultation is postponed. An officer granted leave under such circumstances shall be allowed free transport for the purpose (but not a travelling allowance) as if travelling on duty. If no medical certificate is given, it will be open to an officer to apply for casual leave.

If an officer is sent by the government to travel and requires a medical escort, the latter's fees for medical attendance during the journey shall be payable to the government.

Approval for medical treatment overseas shall only be given by His Excellency the Governor following the assessment and recommendation of a duly constituted Medical Board and the Honourable Commissioner for Health.

In exceptional cases, where the dependents of officers are compelled to travel abroad for medical treatment, the government's financial involvement shall be limited to half the estimated expenses.

Applications for medical treatment abroad must be supported by a consultant's report from a government hospital. This shall be submitted to the Permanent Secretary, Ministry of Health by the officer's MDA. The Permanent Secretary, Ministry of Health shall then make a recommendation to the Head of Service. Approval of the application will be notified to the applicant by the Head of Service with copies to the Ministry of Finance. The choice of consultants/clinic abroad shall usually be made by the Nigeria Mission. The Mission's Medical Consultant will vet all bills before settlement to ensure they are proper and reasonable.

**5. The maximum aggregate sick leave every 12 months to be six weeks (this does not apply to officers who have been hospitalised)**

Where an officer has been absent in excess of six weeks he/she must appear before a Medical Board. Any period of absence on grounds of illness in excess of the aggregate six weeks will be without pay and shall not be considered for purposes of pension or increment.

**6. Officers to be allowed up to three months paid sick leave in a single calendar year, to be determined and approved by the Medical Board**

Sick leave for up to three months in the first instance may be granted to an officer who is hospitalised by a government Medical Officer. At the end of three months the officer shall be examined by a Medical Board to determine whether he/she should be invalided out or allowed further paid sick leave. Sick leave is inclusive of Saturdays, Sundays and Public Holidays.

## **7. The government Medical Board to decide on an appropriate course of action if an officer is hospitalised for a period of more than 3 months**

An officer assessed by the Medical Board or Medical Officer as being permanently invalided shall immediately commence vacation leave prior to retirement.

Where an officer who is incapacitated is not eligible for a pension the appropriate authority responsible for pensions matters may, in lieu of a gratuity stipulated in the relevant pension schedule, grant to such an officer (in addition to the injury pension) a pension calculated at 2% of the officers accrued pension from the date of the officer's retirement.

## **Sickness While on Duty Overseas**

### **1. Refunds for treatment received overseas to be considered**

The Ministry responsible for health may authorise a refund of medical expenses incurred by an officer while overseas on leave or on duty, provided:

- The illness was not a consequence of the officer's own negligence
- The illness was attributable to conditions overseas
- The officer sought the help of the local public health service and could not obtain the needed attention within a reasonable time
- The officer informed the nearest accredited government representative at the earliest possible date that he/she was unable to receive the required attention through the local health service
- The officer showed reasonable diligence, expedition and economy in seeking and obtaining medical attention.

## **Sickness While on Duty Travelling to or from Nigeria**

### **1. Medical expenses to be reimbursed when an officer falls seriously ill while travelling to or from Nigeria**

In situations where an officer falls seriously ill while travelling to or from Nigeria on official business the government will consider claims for the refund of any medical expenses incurred, provided the illness was not attributable to the officer's or his/her family's negligence.

## **Medical Check-ups**

### **1. Officers to be entitled to medical check-ups**

Officers are entitled to medical check-ups in accordance with the regulations of the state civil service.

Local medical check-ups may only be authorised if the applicant chooses a government hospital or university teaching hospital.

Hospital bills in respect of authorised medical check-ups will be settled by the relevant MDA.

## **2. Compulsory medicals**

The Permanent Secretary of an MDA can also at any time call upon an officer to present himself/herself for examination before a government Medical Board to determine whether he/she is fit to work in his/her current position or any other.

Any officer on leave of absence on medical grounds may be required to present himself/herself for an examination by a government Medical Board to determine if he/she is fit to return to work or take up a fresh appointment.

## **Injuries**

### **1. Officer injured while on official duty**

### **2. The Permanent Secretary, MDA to call for a full report from a Medical Officer**

When a Permanent Secretary is informed by a Medical Officer, or other, that an officer has sustained an injury which might lead him/her to claim under the Pensions Act, then the Permanent Secretary shall call for a full report from the Medical Officer if no such report has been received.

### **3. The Permanent Secretary, MDA to determine whether or not the injuries sustained were in the discharge of duty**

### **4. If it is determined that the sustained injury was not incurred in the actual discharge of duty the Permanent Secretary, MDA to report this to the Permanent Secretary, Establishment and Training Department**

### **5. The Permanent Secretary, MDA to forward any findings to the Permanent Secretary, Establishment and Training**

The requirement does not apply to any person who is a workman covered by the Workmen's Compensation Act.

An officer who is incapacitated as result of an injury sustained in the course of his/her official duties shall be entitled to draw full salary until he/she is discharged from sick leave or declared a permanent invalid.

## **Death While Overseas on Official Duty**

### **1. Death of an officer while overseas on official duty or training**

The government shall repatriate, at the request of the family of the deceased, the corpse of a Nigerian officer who dies abroad while on official duty or training course. The corpse of the spouse who was duly authorised to accompany the officer may also be repatriated.

The government shall then take responsibility for:

- Embalming the body
- Purchase of a reasonably priced coffin or casket
- Transport, at a reasonable cost, of the corpse to the officer's hometown
- Payment, to the immediate family of the deceased, of the cost of a one-half page obituary.

## **Death in Service**

### **1. Death of an officer in Service**

The government shall take responsibility for:

- Embalming the body
- Settlement of any mortuary bills
- Provision of a coffin or casket (subject to a maximum amount)
- Payment, to family of the deceased, of the cost of a one full page obituary in one national newspaper at the prevailing rates
- Transport, at a reasonable cost, of the corpse to the officer's home town.

# Talent Mapping

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## 1. The HR officer to agree the objectives of a talent mapping exercise with the Department Head or senior MDA manager

Talent mapping is a process for identifying the actual and potential expertise within the existing workforce. It is a necessary part of succession planning and will provide inputs to wider workforce planning.

Talent mapping provides the senior management of the MDA, the Civil Service Commission and others a 'big picture' view of the performances and learning potentials of officers.

Each officer shall be given a *performance* score between one and four (based on the last overall APER) and a *potential* score (high, medium, low or unknown).

These scores shall be used to place each officer in an appropriate talent box, i.e.

- New to role (low performer/high potential – someone requiring additional induction support to get up to speed)
- Technical expert (high performer/low potential – someone who is performing well in his/her current role, but not suitable for the next level)
- Future leader (a senior officer who is part of the succession plan to lead a team or department).

Each officer is to be put into one of four boxes according to the advancement criteria listed below:

- Green – ready for promotion now. [Could move up one level today, may have minor technical or stylistic gaps, would accept the position if offered]
- Blue – ready for promotion in two to three years. [Has clear and strong potential, but is missing some critical ingredient – could be leadership experience, customer domain expertise/credibility or some stylistic gap]
- Amber – ready for promotion in three years or more. [Is too junior at present to advance, but has the potential and the aspiration for an expanded management responsibility in the future]
- Red – not ready or not appropriate. [For any number of reasons is not a viable successor, lacks interest and aspiration for greater managerial responsibility, has a fundamental leadership style deficit – e.g. too quiet or passive – lacks some fundamental technical or customer experience or requirement – e.g. is not a citizen, wrong technical background, etc – is at a point in his/her career where advancement is not desired or appropriate].

## 2. The HR officer to meet with Department Head and team to map relevant officers

The following supporting documents shall be provided:

- Service history (i.e. what departments/MDAs the officer has worked in over the course of his/her employment)
- APER
- Training records
- Other documentation as appropriate.

### **3. Talent map to be approved by the department head**

The talent maps shall include the proposed outcomes of the talent mapping exercise, linked to the purpose

### **4. Talent map to be approved by the Permanent Secretary, MDA**

**5. Talent maps to be forwarded for approval to the Permanent Secretary, Civil Service Commission (for senior officers grades GL7 and above) or to the Permanent Secretary, Civil Service Commission and Head of Service (for senior officers grades GL15 to GL17)**

### **6. The HR officer to work with the department Heads on the approved actions**

The talent mapping outcomes might be:

- Career plans for targeted officers
- The drafting of SMART objectives for poor performers
- Structured on-the-job training/experience for future leaders.

# Training Needs Analysis

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- 1. The HR officer to review the APER forms to identify individual training needs**
- 2. The HR officer to meet with Department Head to validate individual training needs and identify department/team training needs**
- 3. The HR officer to meet with the Permanent Secretary, MDA to identify the MDA training needs**
- 4. The HR officer to prepare a thorough training needs analysis for submission to the Permanent Secretary, MDA and/or the Civil Service Commission**
- 5. The Permanent Secretary, MDA to review the training needs analysis proposals**

Proposals should not just identify training needs, but also the development needs at all levels. Internal MDA development solutions should be proposed for delivery by a specialist HR officer along with any requests for formal training through the Establishment and Training department.

- 6. The Permanent Secretary, MDA to approve the training needs**
- 7. Training proposal to be submitted to the Permanent Secretary, Establishment and Training and the Office of the Head of Service**
- 8. The Permanent Secretary, Establishment and Training to prioritise and approve training proposals**
- 9. The training budget to be approved by the Ministry of Economic Planning and Budget**
- 10. The Ministry of Economic Planning and Budget to release the training budget**
- 11. Establishment Matters to formally invite officers identified by the MDAs to attend the relevant training course**
- 12. The officer to attend the training**

The officer shall be issued with a certificate of attendance on satisfying the attendance requirements of the training programme.
- 13. The certificate of attendance to be returned to the HR officer**
- 14. The certificate to be scanned into the HR database/HR MIS by the HR officer and the individual personnel record updated**



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**15. The HR officer to interview the officer and his/her superior to confirm and evaluate individual learning**

**16. The Permanent Secretary, Establishment and Training to be responsible for an evaluation of the quality of the training provided by the approved institutions**

Regular assessments will result in ongoing changes to the approved list of recognised training providers.

# Transfers and Secondments

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## Inter-Service Transfers and Secondments

### **1. The superior officer and HR officer to identify the need for transfer/secondment for a specific officer**

Transfer/secondment should be MDA driven and based on specific development/career planning needs identified by the HR officer. The decisions should feed directly into the deployment process.

A transfer is a permanent release of an officer from one scheduled service to another or from one cadre to another within the same service.

Secondment is a temporary release of an officer to the service of another government approved body or any recognised international organisation for a specified period.

Needs should be identified as part of the APER/appraisal discussions, career planning and succession planning.

Needs should be discussed with each officer.

The minimum service requirement for a transfer is six months spent in the original department.

Applications for transfer to a pensionable appointment from an officer more than 50 years of age shall not normally be considered.

The requirements for transfers: include:

- The officer has been confirmed and his/her qualifications, experience and career progression are in accordance with the Scheme of Service
- The transfer must not jeopardise the promotion prospects of serving officers
- The relevant vacancy must be available
- The applicant must have served in their current grade for the minimum number of years prescribed for promotion to an advertised post.

The posting of officers within the MDA to positions outside their professional cadres is prohibited.

### **2. The HR officer to submit the transfer/secondment proposals to the Permanent Secretary, MDA**

The proposals shall include the APER reports covering the last three years together with the rationale behind the need for career development. The APER reports shall cover the whole

of the officer's service if this is less than three years. The career plan for each officer shall also be submitted.

The applications shall state the reasons for the transfer and the qualifications for the work that is proposed to be undertaken in the new post.

To be eligible for transfer from Clerical Assistant to Clerical Officer an officer must have:

- Obtained the full minimum educational qualifications for direct appointment to a Clerical Officer position
- Passed the Clerical confirmation/promotion test at the promotion level.

**3. The Permanent Secretary, MDA to approve the HR officer's recommendations**

**4. Transfer/secondment proposals to be submitted to the Permanent Secretary, Civil Service Commission (for senior grades), to the Permanent Secretary, Establishments and Training department (for junior grades) or to the Permanent Secretary, Office of the Head of Service (for pooled officers and officers in grades GL15 to GL17)**

Transfers from non-pensionable appointments require the approval of the authority empowered to appoint at the level concerned.

**5. The Service wide MDA to review proposals and invite senior management officers from relevant MDAs to attend a transfer/secondment review meeting**

The meeting shall be chaired by the Permanent Secretary, Civil Service Commission (for senior officers), the Permanent Secretary, Establishment and Training (for junior officers) and the Permanent Secretary, Office of the Head of Service (for the pooled cadre).

**6. Transfers/secondments to be discussed and agreed**

**7. The Permanent Secretaries of the giving and receiving MDAs to approve the proposals**

**8. The Permanent Secretary of the giving MDA to release the officer for transfer/secondment**

**9. The HR officer to confirm in writing the details of the transfer/secondment to the officer being transferred/seconded**

The terms of the transfer/secondment shall be formally outlined.

The secondment of an officer to the Service of another government or approved body shall be for a maximum period of two years, after which time the receiving MDA must either apply for an extension, seek permanent transfer or return to the officer to his/her former post. The Permanent Secretary, Civil Service Commission must approve all extensions.

The officer shall be entitled to a notional increment during the period of their secondment and may be granted notional promotion by the Permanent Secretary, Civil Service Commission on his/her de-secondment in order to restore their seniority as a result of the promotion of others during their absence.

Where secondment to the Service of another government or approved body is in the public interest, the period of secondment shall not be limited and the officer shall continue to hold his/her substantive post and be entitled to increments and promotion and shall be treated as having been on special duty.

Transfers from non-pensionable to pensionable appointments may be subject to a period of probation. Should the officer fail to secure confirmation in the pensionable establishment he/she will have no claim to revert to the former non-pensionable appointment.

The salary of an officer transferring to a pensionable appointment is not governed by the salary the officer was receiving in the non-pensionable appointment.

In case of transfer from an un-established to an established post, the salary of the transferee shall not be lower than what he/she was receiving as a non-pensionable officer.

At all levels, all serving non-pensionable candidates for pensionable appointment must undergo a medical examination by a government Medical Officer if their non-pensionable appointment was not preceded by such an examination. In the event that the officer does not pass the medical examination the transfer will not be effected.

The salary and increment date is governed by the following rules:

- If the officer is promoted to a salary grade level that does not overlap his/her old salary grade level, then he/she will be placed at the minimum point of his/her new salary grade level,
- If the salary in the former post is higher than the minimum point of the new salary grade level the officer shall be placed on the next point higher than his/her former salary after taking into consideration the increment he/she would have earned had he/she not been promoted.

An officer on an incremental grade level shall normally be granted an increment unless he/she is on interdiction, suspension or has disciplinary action pending against him/her.

#### **10. The officer to transfer or begin secondment**

During any secondment the benefitting organisation shall be responsible for the officer's emoluments.

### **Inter-State Service Transfers and Secondments**

#### **1. Applications for inter-state transfer to be received by the service wide MDA**

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The Permanent Secretary, Civil Service Commission shall receive applications from senior officers, the Permanent Secretary, Establishment and Training shall receive applications from junior officers, from Federal officers or officers serving in other States.

**2. The Head of Service to approve the appointment and deploy officers to relevant Parent MDAs**

The deployment shall take place in consultation with the MDA Personnel Management Board and based on workforce and hire plans.

# Unpaid Leave

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**1. The officer to apply for unpaid leave**

**2. The HR officer to consider the application and forward a recommendation to the Permanent Secretary, MDA**

Unpaid leave may be awarded under certain special circumstances, but only after consultation with a superior officer and approval from the Permanent Secretary, MDA. Examples of circumstances where unpaid leave might be considered appropriate would include the following:

- Leave to care for a seriously ill dependent
- Leave to deal with an incident which involves the unexpected disruption or termination of arrangements for the care of a dependant. In this instance the amount of leave granted will be one or two days at the most

The leave shall be sufficient to deal with the immediate problems and arrange alternative longer term care if necessary and does not mean, for example, that an officer is entitled to take two week's unpaid leave to look after a sick dependant.

**3. The Permanent Secretary, MDA to approve the unpaid leave**

**4. The Permanent Secretary, MDA to inform the Auditor General and Accountant General of the unpaid leave**

**5. The unpaid leave to be confirmed in writing**

If the unpaid leave request is approved, then its length shall be confirmed in writing prior to the officer's departure.

**6. The leave letter to be scanned into the HR database/HR MIS and placed against the officer's record**

# Whistle blowing

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**1. An officer to raise concerns with their manager if he/she has reasonable suspicion that unlawful conduct, malpractice or criminal negligence is occurring, has occurred or is likely to occur**

The officer shall, in the first instance, raise his/her concerns verbally with his/her immediate supervisor who will arrange for an initial interview to be held within seven working days to ascertain the area of concern. If requested, this interview shall be kept confidential.

If the concern relates to the officer's immediate supervisor then it shall be referred to the next level of management.

Officers raising a genuine concern will not suffer any detriment or form of retribution.

**2. The officer blowing the whistle to meet with his/her superior officer and the HR officer**

During this interview the officer shall be reassured about protection from possible reprisals or victimisation. He/she shall also be asked whether or not he/she wishes to make a written or verbal statement. In either case, an HR and trade union representative may be present, if agreed by all parties.

**3. The HR officer to prepare a full report and submit to the Permanent Secretary, MDA**

**4. If the Permanent Secretary, MDA considers it appropriate, the report to be forwarded to the Head of Service**

This action will depend on the sensitivity of the claim to be investigated, but if sufficient grounds are reported the concerns discussed shall then be formally submitted in writing to the Head of Service.

**5. The subject of the whistle blowing to be discussed by a review committee appointed by the Permanent Secretary, MDA or the Head of Service**

The review committee shall be approved by the Head of Service (for senior officers) and consist of not less than three people), one of whom shall be appointed Chairperson. The committee shall take into consideration the status of the officer(s) alleged to be doing wrong and the nature of the complaint. The Department Head of the officer under investigation shall not be a member of the committee.

Given the likely sensitivity of the issues being raised, it is not expected that the officer who raised the complaint will be asked to present himself/herself before the review committee. However, if a situation arises where the committee will not be able to appropriately investigate the concern without revealing the identity of the officer who brought the allegations, then the request of the officer lodging the complaint for confidentiality must be waived and he/she will be asked to attend a hearing.

## **6. Investigation**

The review committee investigation the concerns raised may need to be carried out under terms of strict confidentiality i.e. by not informing the subject of the complaint until (or if) it becomes necessary to do so. This may be appropriate in cases of suspected fraud. In certain cases, however, suspension from work may have to be considered immediately.

If the result of the investigation is that there is a case to be answered by any officer then appropriate disciplinary action will be taken, subject to approval by the Head of Service or delegated service wide authority.

Where there is no case to answer, but the whistle blower held a genuine concern and was not acting maliciously, the Personnel Management Board shall ensure that the officer suffers no reprisals.

The State government cannot condone abuse of this procedure and if, following investigation, an officer is found to have raised concerns maliciously, then appropriate disciplinary action shall be taken.

## **7. The Permanent Secretary, MDA to approve the investigation's outcome and associated recommendations**

## **8. The officer to receive details of the confirmed whistle blowing outcome**

Following investigation by the Personnel Management Board, the HR officer will arrange a meeting with the whistle blower to brief him/her on the outcome of the investigation (this will not include details of any disciplinary action, which will remain confidential to the individual concerned). Feedback on the investigation will be provided to the officer on a date set by the Personnel Management Board.

## **9. The officer to appeal directly to Chairman, Civil Service Commission or Head of Service**

If the whistle blower is not satisfied with the outcome of the investigation he/she may appeal in writing to the Civil Service Commission.

## **10. The Permanent Secretary, Civil Service Commission to take any and all necessary and appropriate actions**



# Workforce Planning

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## Workforce Planning

### **1. The Permanent Secretary, MDA to define the revised MDA mandates**

This is expected to change on an ongoing basis and will stem from the Governor's agenda, State Development Plan, Medium Term Sector Strategy (MTSS) and the priorities of the Honourable Commissioner of the MDA.

### **2. The Permanent Secretary, MDA to define the MDA vision, mission, long term goals, objectives and strategies**

### **3. The Permanent Secretary, MDA and the HR officer to define the medium term objectives, deliverables and performance measures**

### **4. The HR officer to work with department heads to define structures, functions, processes and revised departmental objectives**

These revision must be approved by the Permanent Secretary, MDA.

### **5. The HR officer to define the establishment plan, job descriptions and schedules for core roles in each department**

The job descriptions shall take into account the required qualifications as outlined in the Scheme of Service for each cadre and level. The establishment plan shall take into account and demonstrate anticipated future promotions and advancement proposals.

### **6. The HR officer to develop/amend the existing workforce plan**

The HR officer shall compare the skills/competencies of the current MDA population with the needs identified. Is there a match? If not, the MDA shall create a workforce plan to decide how and when existing staff will be developed and what type of people need to be recruited.

### **7. The HR officer to work with the senior management of the MDA to implement the workforce plan**

# SPARC HRM 2013

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## HRM Frameworks

**2E:**

**Workforce Planning**

**sparc**

## Workforce Planning

Workforce planning is a core HRM process that is shaped by organisational strategy, structure and functions. It is designed to ensure the ministry, department or agency (MDA) has the right number of people with the right skills at the right time to deliver its short and long term objectives. Workforce planning involves a structured analytical process which analyses the numbers, distribution, responsibilities and competencies of the staff currently employed and compares this with the workforce which is required to meet the MDA objectives. This comparison identifies the gap between what is needed and what exists, and allows the MDA to plan how it will reconfigure its workforce numbers, distribution and competencies to meet the needs.

Workforce planning involves three distinct stages, which are described in more detail in the remainder of this document:

**Define an Establishment Plan for the MDA:** specifically, the composition of the required workforce in terms of posts, jobs and skills required to respond to the structure, functions and processes proposed and adopted (i.e. what staff do we need to do the job?).

**Analyse the Existing Workforce and Identify Gaps:** specifically match the current numbers, experience, competencies and demographics of the existing MDA staff with the needs and identify the shortages in terms of staff, numbers, grades or competencies which must be addressed.

**Prepare a Workforce Plan:** which sets out how the MDA will get the right people, with the right skills, in the right jobs (identified in the Establishment Plan) at the right time to enable the MDA to deliver its goals, strategic objectives and service delivery targets (i.e. what staff do we have and how can we better utilise them?).

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## Stage One: Define an Establishment Plan for the MDA

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In the public service, an 'Establishment Plan' is the list of posts approved for an MDA or a department or other sub-component of the MDA that is intended to enable the MDA or sub-component to effectively and efficiently undertake its functions. The Establishment Plan lists each post by its title and grade. While the Establishment Plan defines all approved posts, whether filled or vacant, the Nominal Roll provides a list of the staff that have been appointed and are in post at any one point in time. The two should not be confused.

The Establishment Plan should define the posts and disposition of staff needed to enable the MDA to undertake its responsibilities and meet its strategic objectives. This involves the following steps:

1. Review the functions and structure of the MDA or each department to be included in the process. Create a list of posts that fit the functional and structural needs. This is not a routine task but one that requires some analysis of the skills needed to fulfil functional responsibilities and the correct hierarchy of seniority that will provide sufficient spread of 'workers' and 'supervisors'.
2. List all posts in the existing structure of the MDA with their grades, required qualifications, experience level and competencies. (Do not confuse this with the Nominal Roll for the MDA or department or attempt to seek the information from the payroll which will only list those who are in post.) Some existing posts may not be necessary and some new posts may well need to be created.
3. Review the job descriptions (if they exist) for the existing posts which will continue. Existing job descriptions may need to be revised, and some new ones may need to be created.
4. Create new job specifications<sup>1</sup> and grades for the new posts that have been created. Once the job specification has been approved then a fuller job description must be developed for every new post.
5. Produce a final Establishment Plan for each department or unit which identifies all of the posts, their job descriptions and job specifications.

The format of an Establishment Plan is given in Annex 1.

Each Establishment Plan must be designed for a particular department or unit and the Establishment Plan for every department will almost certainly be different from all others. The only possible exception to this will be administration units, which will have identical or very similar duties no matter in which department they are located. The practice of creating identical post hierarchies (for example, Department Head x

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<sup>1</sup> A job specification includes a list of the tasks, or functions and responsibilities of a position. Typically, it also includes to whom the position reports, specifications such as the qualifications, experience needed by the person in the job, etc.

1, Department Head x 2, Principal Officer x 4, Senior Officer x 8 and so on) irrespective of the nature of the tasks being undertaken should be abandoned.

## Stage Two: Analyse the Existing Workforce and Identify Gaps

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The second stage of the process is to analyse the existing workforce and compare with the Establishment Plan to identify the 'fit' between the two. It is to be expected that many of the existing staff can be assigned to the new posts, but there will undoubtedly be some posts for which no officer with suitable experience or expertise is currently employed in the MDA, and some officers whose competencies do not readily match any of the required posts.

The workforce analysis involves the following steps:

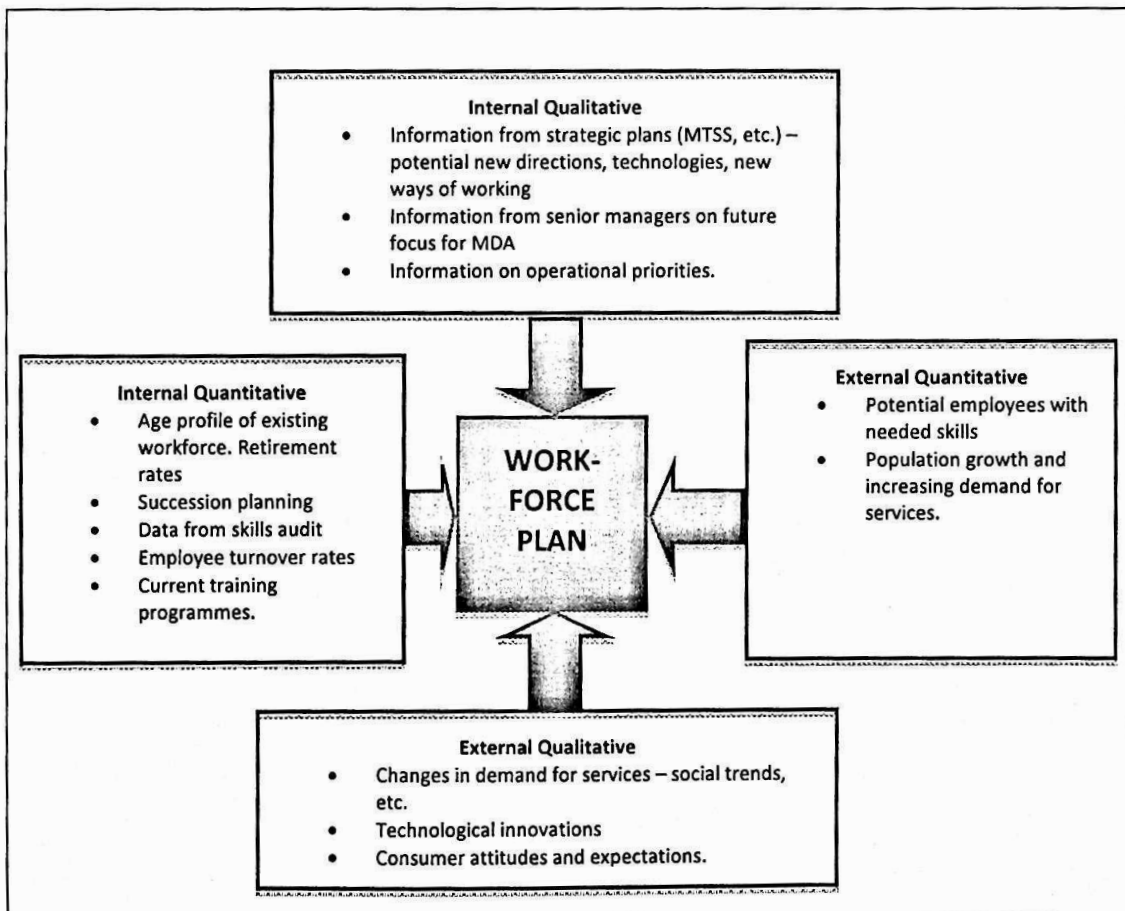
1. Prepare a Staff List showing all personnel currently employed by the MDA department, their age, qualifications, gender, experience, grade and performance record if existing (see Annex 2 for a suggested format). In many parts of the Nigerian Civil Service a critical factor is the aging of the workforce that threatens to create skills and experience gaps in more senior decision-making roles. A sudden absence of experienced staff will detrimentally impact upon an MDA's performance.
2. Conduct a personnel and skills audit – do current staff have the necessary qualifications and experience to effectively undertake their job responsibilities? Where new responsibilities are proposed then the capacity of existing staff to undertake these new responsibilities must be analysed too. Where staff lack required skills or those that possess skills are inadequate an MDA cannot perform the functions and services expected of it. A 'skills gap' can only be closed by either employing new staff with required skills or providing training to existing staff.
3. Compare the Staff List with the Establishment Plan to highlight vacancies, staff duplication, new staff requirements, skill and experience gaps.
4. Account should be taken, especially in MDAs providing direct public services, of the projected size and nature of **future** demand for the services provided and the implication of these demands for numbers and skills of staff. With increasing population size a quantitative increase in demand is inevitable but also changing social attitudes and education may bring about changes in the service quality demanded.

## Stage Three: Prepare the Workforce Plan

### What is a Workforce Plan?

Taking as its starting point the gaps between the existing workforce and the requirements of the Establishment Plan captured in Stage Two above, the Workforce Plan sets out how the MDA will get the right people, with the right skills, in the right jobs at the right time. A comprehensive Workforce Plan should identify the strategies for building the relevant skills and capacity needed for organisational success. It should also set out how the MDA will recruit, support, develop, deploy and retain the employees it needs for the future as well as for the immediate present. It will also show where employees will need to move to new jobs to meet changing needs and priorities and in some cases where there may be redundancies. In essence, the Workforce Plan begins from the gap analysis and defines the actions which will be taken to bridge any gaps that may be identified.

The core information assimilated in the Workforce Plan is summarised below:



### Creating a Workforce Plan

Workforce planning does not exist in isolation. As well as reflecting organisational priorities, functional responsibilities and processes, the Workforce Plan must also respond to wider development and service goals of the state government as well as policies concerning recruitment and budget constraints.

Ensure that the Workforce Plan addresses the following elements:

1. Have the priority managerial skills that are needed for high performance been identified? (e.g. project and programme management; finance and planning; performance management; procurement; maximising the use of technology; high level understanding of service delivery and so forth)
2. Have the current and future occupational shortages been identified?
3. Has a plan for future recruitment and retention been developed? Does the state have a policy restricting recruitment and if so will an exception need to be requested?
4. Has a succession plan been developed to identify and develop internal personnel with the potential to fill key posts and draw up a scheme to develop necessary skills and experience to facilitate advancement?
5. Have the key generic skill gaps been identified across the organisation? (e.g. leadership, management development, customer care, health and safety, equal opportunities/diversity, gender and social inclusion, etc.)
6. Have the potential future skills shortages/gaps been identified in relation to projected or expected changes to the workforce profile? (e.g. key occupational areas where there are large numbers of people nearing retirement or where there is high turnover; areas where skills needs are expanding, such as technology)
7. Have the potential future skills shortages/gaps been identified in relation to projected or expected changes in service delivery, working methods, technology, legislation or government policy?

Preparing a Training and Development Plan is the last key stage in the workforce planning process. It should be developed in the context of the overall training policy of the state which has established key principles and a framework within which capacity building and training can take place. The Plan itself should first set out some objectives and an analysis of the situation (gaps, succession needs, performance needs, etc.) it is trying to address. It should then elaborate on what skills, knowledge, competencies and behaviours need to be in place within the organisation in order to achieve its objectives and how these will be met. Elements will include the overall approach to learning and capacity building, who is to be trained and what they should be learning, what types of courses should be attended (long term, short term), where training should be carried out (on the job, distance learning, local workshops, state training institutions, national or international institutions) and how training should be followed up. Crucially the Plan should have a timeframe and be costed.



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## Monitoring and Review

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It is stressed that preparing an Establishment Plan and then a Workforce Plan is not a one-off activity. Periodically, it will be necessary to review and revisit each Plan in order to:

- Be sure that the underlying assumptions of the Establishment Plan and staff attributes are still relevant. For example, the state may adopt a new strategic plan that introduces some changes into the priorities of the state or services being offered. Such innovations may impact upon the responsibilities and priorities of an individual MDA and call for some reorganisation or new processes which in turn need new skills or increased staffing
- Ensure the provisions of the original Workforce Plan have actually been implemented and check whether this implementation has led to the desired changes in capacity. Periodic consultation with managers throughout the MDA will provide evidence of the achievement or failings of the Workforce Plan. Once identified, shortfalls can be addressed in a revised Plan.

# ANNEX 1: The Revised Establishment Plan for Reorganised MDA

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Ministry of \_\_\_\_\_

## ESTABLISHMENT PLAN

Department/Unit \_\_\_\_\_

Title of Post	Grade	No. of Posts in Dept/Unit	Main Tasks and Responsibilities	Qualifications
Head of Department	16	1	Overall performance of the department, setting goals and performance targets, etc.	Masters, 10+ years' relevant experience, etc.
Deputy Head of Department	15	4		
Principal Education Officer	12/13	7		
Administration Officer	8	14		
Etc.				

## ANNEX 2: Staff Profile Format

MINISTRY OF \_\_\_\_\_

### STAFF PROFILE CHART

Please complete this table for all staff in the Ministry.

S/N	Name (in full)	Job Title/Position	Grade Level	Gender	Date of Birth	Academic Qualifications (Degree, Speciality, Institution & Dates)	No. of Years in State Public Service	Formal Training Received in Last 3 Years (State Specific Titles)	Personal Development Undertaken in the Last 3 Years (State Specific Programme Title)
1									
2									
3									
4									
5									
6									
7									
8									
9									
10									

# SPARC HRM 2013

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## HRM Frameworks

**2F:**

**Capacity Building  
and  
Human Resources Development Policy**

**sparc**

## **Capacity Building and Human Resources Development Policy**

This document explains the concepts of capacity building, learning and training, and gives a brief introduction to the range of training activities which can be used to improve the capacity of individual civil servants.

It sets out a framework for identifying capacity building needs, designing and planning capacity building activities, and evaluating the impact of capacity building on individual and organisational performance.

Finally, it explains how a state civil service or an individual ministry, department or agency (MDA) might go about developing its own Human Resources Development Policy which provides a foundation and focus for all training activities and ensures a consistent approach to training.

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## What Do We Mean By 'Capacity'?

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In its broadest sense, capacity building refers to the process of enhancing an organisation's abilities to perform specific activities so that it can better fulfil its defined mission. This will include ensuring that the organisation has the appropriate mandate, structure, and processes, as well as human, financial and technical capacity to meet its objectives.

Human resources capacity building is defined more narrowly. At the individual level, it refers to the process of changing attitudes and behaviours – imparting knowledge and developing skills while maximising the benefits of participation, knowledge exchange and ownership.

At the organisational level it focuses on the overall organisational performance and capabilities, as well as the ability of an organisation to adapt to change. It aims to develop the organisation as a total system, including individuals, groups and the organisation itself. Capacity building is concerned with the future as well as the present needs of an organisation. It is an essential aspect of workforce planning and succession planning: identifying the future human resource capacity needs to ensure that the organisation is able to deal with changing demands, acquiring new knowledge and skills in good time, and systematically training officers to replace skills that are lost through normal promotion and retirement.

*(Refer to the 'Workforce Planning' document in this Resource Suite series for further guidance on workforce planning.)*

## Capacity Building and Training

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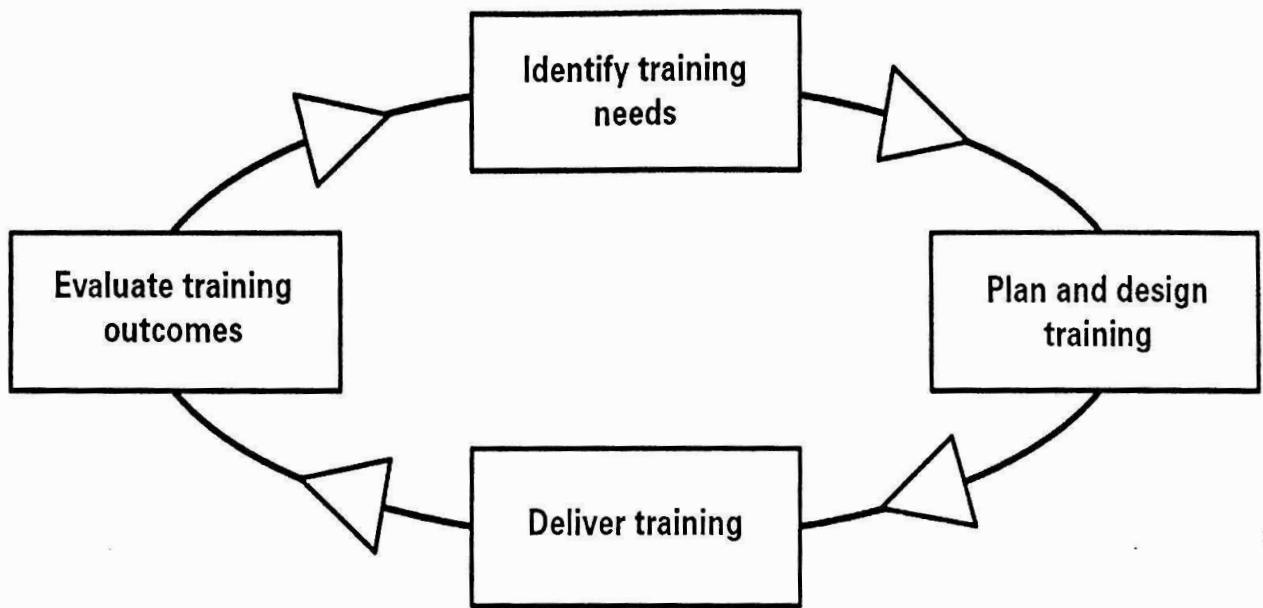
Capacity building is achieved through individual and organisational learning. Learning occurs when individuals and organisations develop and use new ways of working, skills, competencies and behaviours. Training is simply a purposeful process of facilitating individual learning. This can be done in many ways, including formal off-the-job training and education, a variety of on-the-job training activities, and a range of other ways of assisting the individual to learn from their normal work activities and experiences. The table below gives some examples of the variety of activities which should be considered as training and be included in any training policy.

Formal Off-The-Job Training and Education	On-The-Job Training Activities	Learning from Normal Work Activities and Experiences
<ul style="list-style-type: none"> <li>• Rapid knowledge and skills acquisition</li> <li>• Technical and professional skills</li> <li>• Can be expensive</li> </ul>	<ul style="list-style-type: none"> <li>• Good for ensuring that new knowledge and skills are applied to improve workplace performance</li> <li>• Must be well managed</li> </ul>	<ul style="list-style-type: none"> <li>• Reinforces a continuous organisational learning culture</li> <li>• Depends on committed and skilful line managers</li> </ul>
<ul style="list-style-type: none"> <li>• Formal short and long training courses and events</li> <li>• Ongoing professional development i.e. training/lectures/Conferences to keep up to date with latest trends.</li> </ul>	<ul style="list-style-type: none"> <li>• Mentoring, i.e. pairing a less experienced individual with a more experienced individual to help them develop a specific skill or competency</li> <li>• Coaching, i.e. effective, personalised management and development support for a named individual</li> <li>• Performance management, i.e. the manager works with the officer to help him/her develop structured performance targets and objectives to help him/her reach their full potential and support their ongoing career development.</li> </ul>	<ul style="list-style-type: none"> <li>• Knowledge sharing, i.e. regular knowledge sharing sessions to keep knowledge fresh, identify challenges and discuss common issues</li> <li>• Deployment, i.e. structured job rotation</li> <li>• Working session, i.e. informal/formal workshop designed to achieve specific objectives.</li> </ul>

### The Training Management Cycle

To ensure that training is correctly targeted to improve the individual's and organisation's capacity, interventions should be designed to address specific needs. The training cycle shown below describes the stages in the process.





**Step 1 – Identify training needs:** these should be based on sound analysis and assessment of civil servants’ capacity improvements which are needed to strengthen organisational performance. Needs analysis can be done at a number of different levels and should then be prioritised based on the strategic objectives of the service or the individual MDA. Prioritisation is essential as it is unlikely resources will be available to address all of the needs which are identified.

**Step 2 – Plan and design training:** this can involve any of the formal off-the-job, on-the-job and experiential activities described in the Table above.

**Step 3 – Deliver training:** depending on the skill/competency to be developed this can be done by someone with the relevant skills and knowledge from within the organisation or may be outsourced. (Remember, the most effective training is relevant to the day-to-day challenges an officer is likely to face on the ground – and so training designed and delivered internally is much more likely to meet this requirement.)

**Step 4 – Evaluate training outcomes:** this should take place at several levels to assess: whether the training was well delivered (by checking participants’ reactions); whether the trainee has applied the new knowledge or skills at work (by checking with line managers after the event); and ultimately, by assessing whether the use of new skills has resulted in improved service delivery, operational efficiency or other organisational performance improvement.

# Towards a Human Resources Development Policy

One of the key ways that the central HRM function can encourage individual MDAs to take additional responsibility for building capacity in their MDAs and reinforcing a needs-based approach to training, is through the development of a formal Human Resources Development Policy.

Generally, human resources development is under-resourced, which means that many civil servants have received little training or have financed their own training. At the same time, the civil service workforce has been aging and losing experienced professional manpower without consistent recruitment of qualified personnel. A Human Resources Development Policy can begin to redress the balance.

The policy should provide:

- A long term vision and mission for human resource capacity development
- Clear capacity development principles, guidelines and practices
- An organisational framework for ensuring appropriate and adequate capacity development to meet the current and future needs of the service
- A reference point for all agencies of government and other interested parties
- Detailed guidance on the planning, developing, financing, managing and reviewing of the implementation of the policy.

## Policy Development Process

There are four main steps to developing the policy, each of which is explained below.



### Step 1: Define key principles

- Outline what the state stands for and the guiding principles it wishes to adopt to guide decision making, for example:
  - Capacity development shall be based on need and used to bring about specific improvement in individual or organisational performance
  - Informal development interventions shall be offered within each MDA in addition to formal training, e.g. MDA-specific knowledge sharing workshops/briefings, structured on-the-job training schedules, off-sites, mentoring/coaching, structured deployment/secondment.
- It may also be helpful to look at any problems or development opportunities that exist with the current system and how the policy might address these.

### Step 2: Formulate the policy

- Having defined the key principles, a training policy should then be developed which is consistent with the government's overall strategy
- The policy might address, for example:
  - Induction and orientation
  - Career development
  - State workforce development
  - Professional education and qualifications
  - Pre-retirement training.

### **Step 3: Implement the policy**

- Once the policy is developed, the proper authorities must agree to it.
- The new policy must be put into effect (commitment, clear communication and coordination are needed to make this step a success).

### **Step 4: Evaluate the result**

- This the final stage in the policy process, known as evaluation, and is ongoing
- Funds and resources should also be continuously reviewed to ensure the policy can be maintained.

### **Tailoring the policy to local needs and priorities**

The policy should be written in a way that will ensure it contributes to the particular priorities and values of the state government, or the individual MDA. Factors to consider include:

- Promoting awareness of the need for capacity building
- Encouraging MDAs to become self-learning organisations by emphasising work-based learning
- Ensuring continuous identification and recording of capacity building needs
- Developing coaching, mentoring and facilitation of learning skills
- Preparing comprehensive capacity building plans which are financed, implemented and reviewed
- Incorporating succession planning and talent management
- Ensuring equality of access to capacity development opportunities regardless of gender, religion or place of origin
- Ensuring well run training and development functions and procedures with appropriately skilled personnel and management systems

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- Effective monitoring and evaluation of learning and training activities to determine results and impact
  - Building linkages and working with competent learning and training providers both government and non-government
  - Affiliation with recognised professional bodies.

# SPARC HRM 2013

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## HRM Frameworks

**2G:**

**Building Readiness and  
Managing HRM Reform**

**sparc**

## Building Readiness and Managing HRM Reform

This document describes ways of building readiness for human resources management (HRM) reform and determining the best path to HRM reform. It also provides guidance on designing and managing the change process. It is not intended to be a step-by-step guide; it simply provides examples to stimulate ideas and dialogue. It is important that any professional HRM solution or change programme is developed within the context of the operating environment, and within the constraints of any national policy and regulatory framework.

This document is concerned with how to bring about change, but deciding what change is necessary is a major task in its own right. The 'HRM Self-assessment Framework' in this Resource Suite can help with the process of deciding whether change is needed, and what changes should be prioritised.

*(Refer to the 'HRM Self-assessment Framework' document in this Resource Suite for guidance on assessing current HRM arrangements and deciding whether and what change is needed.)*

There are likely to be some common goals. For example, it may be that there is a desire to introduce professional HRM within organisations in order to establish more effective human resources (HR) and people management capability. Or there may be a desire to introduce HR best practice in order for ministries, departments and agencies (MDAs) to be more responsive to the particular needs of their staff.

Before embarking on any exercise to determine what 'improved HRM' should look like, the key stakeholders and decision-makers should be engaged so that they understand the need and can see the benefits of change. The first stage of preparing for change is therefore to ensure that state governments and MDAs are willing and able to undertake a programme of change to achieve more professional and responsive HRM.

This document provides some guidance about the key stages in building readiness and managing HRM reform, including tips for:

- Preparedness and readiness-building
- Scoping and piloting changes
- Implementation of HRM reforms.

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# Preparing and Readiness-building

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## Goals of HRM Improvement

The first step in building readiness for HRM change is to define, understand and explain the goals and potential benefits of the reform programme. For example, if the current HR model is primarily concerned with personnel administration, a more modern professional HRM approach might be worth considering. Some example reasons for this are noted below:

- HRM professionals are trained to proactively identify and nip in the bud minor problems which, left unchecked, would otherwise develop into formal issues, e.g. late coming, sickness, lack of motivation at work, poor work ethic, etc.
- When developed and given the opportunity to work in a structured environment, professional HRM officers are able to reach their full potential as skilled, in-house, strategic HR partners
- Embedded in each MDA, HRM professionals are in continuous dialogue with heads of department and their junior officers to address the behaviour, thinking, knowledge and skills gaps that sit **behind** the people problems prevalent in the service
- A professional HRM model acknowledges that the HR issues, needs and therefore solutions may be MDA, and sometimes department specific – and professional HRM officers in individual MDAs have a key role to play in tackling this.

*(Refer to the 'Human Resources Management or Personnel Administration?' document in this Resource Suite for more discussion of the differences and benefits.)*

Articulating some of the reasons for change and desired results can, in turn, help formalise specific objectives. For example, these might include:

- Establish HR Departments which have a clear remit and are staffed with capable and trained personnel who have the authority and information they need to do their jobs properly
- Ensure HR Units feed into the overall public service strategy, are respected and give professional advice and guidance, operating free from political interference
- Develop and communicate clear HR policies
- Review existing rules and procedures and develop a series of step-by-step HR operational guidelines
- Assess, design and deliver accredited HRM professional training to relevant officers
- Institute effective HR people strategies in selected MDAs.



## Review Current HR Practice

Establishing a process to review current HR practice is one way of determining where there is room for improvement in the current system, e.g. collecting baseline data on HR frameworks, roles, responsibilities, metrics and decision-making mechanisms, interviewing senior managers and administrative officers.

It is important that all relevant stakeholders are consulted and kept up to date on the goals and reasons for reform so that motives are clearly understood and officers do not feel threatened or undermined by the activities taking place. A participative self-assessment process can ensure that key stakeholders are involved in assessing the needs for change and this will improve the likelihood that they will be committed to and 'own' any subsequent HR change programme. This Resource Suite includes a framework which can be used in whole or in part to structure a self-assessment exercise.

*(Refer to the 'HRM Self-assessment Framework' document in this Resource Suite for guidance on assessing current HRM arrangements and deciding whether and what change is needed.)*

## Preliminary Findings and Recommendations

The result of this detailed analysis of current practice should result in a number of preliminary findings and recommendations which should be actively communicated and fed back to those involved in the development process for review, discussion and revision.

## Scoping and Piloting Change

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Once the need for change and the potential benefits of change have been accepted in principle, the specific proposals can then be developed.

### HR Committee or Other Decision-making Body

It is worth considering whether or not to establish a senior, decision-making 'HR Committee' or other structure with responsibility and authority for driving the reforms and effecting change. These responsibilities could perhaps be usefully outlined in a formal Terms of Reference to ensure clear accountability.

Depending on the likely scope of change being considered, this senior decision-making body may also be supported by smaller, technically focussed bodies or working groups, with distinct development responsibilities.

Once the senior decision-making body has been established and the preliminary analysis of current HR practice reviewed, this group should then agree in principle what the new HR arrangements might look like.

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## Piloting Changes

Testing any theoretical model prior to implementation is a valuable way of gaining additional insight into some of the likely challenges and ways in which the preliminary recommendations might be revised and improved. This exercise could include specific tests of new policies, structures, procedures, etc. It is important that the pilot objectives, activities and intended approach are defined and agreed in advance.

Some of the key decisions are noted below:

- What is the precise purpose of the pilot? (For example, it may be intended to act as a test of the new arrangements, a showcase for the new arrangements, or a training simulation – or all of these.)
- Who will take part in the pilot and how will these participants be identified?
- Which MDAs should be involved in the pilot and why?
- How long should the pilot process last?
- What mechanisms exist, or need to be established, to coordinate, manage and monitor progress and logistics during the pilot?
- What will the pilot participants actually be doing during the pilot?
- How will structured activities be designed and the model tested? (For example, will everyone do the same work or will tasks be organised by topic area, e.g. workforce planning and recruitment; learning and development; employee relations; key performance indicators and accountability?)
- What training or sensitisation needs to take place prior to the pilot launch?
- How to keep people informed and enthusiastic and maintain momentum during the pilot process?

Once the pilot has been completed and the new arrangements adequately tested it should then be validated, adjusted and formalised by the senior decision-making body to address any emerging issues, with consideration made for how officers will be trained to perform their new roles.

These formal recommendations should include a detailed work plan for proposed service-wide implementation of any changes which are to be rolled out across the service.

# Implementing HR Reforms

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## Approval

It is expected that once the pilot has been completed the senior decision-making body would prepare a formal report on the proposed HR modernisation framework for approval by the Head of Service and or Executive Council as appropriate.

Once approved, preparations for service-wide implementation can then begin.

## Planning

Needless to say adequate planning prior to implementation is essential and a clear work plan and timetable should be agreed in advance.

## Budget

There may be significant budget implications in proposing to launch new HR arrangements which should be addressed well in advance of wider implementation. These may include, for example:

- Cost of training of HRM officers and/or line managers
- Cost of establishing new HR procedures or structures, including infrastructure, communication tools, equipment, printing handbooks and other critical induction materials, etc.
- Cost of access to HRM Information Systems.

## Coordination

With any large change initiative it is helpful to identify a core group of individuals who are able to support effective implementation of the new HR arrangements. Such a group of change agents may be defined as an HR Change Management Team, continuously supporting and monitoring the completion of relevant activities and milestones.

## Phased Implementation

Roll out of any change is likely to cause confusion, lead to questions and require significant time, ongoing communication, reinforcement and resources. As such, phased implementation of any new HR arrangements might be more practical.

## Ongoing Review and Improvement

It should not be assumed that once new arrangements have been put in place they will continue to meet the service requirements indefinitely. Indeed, if a learning culture is to be encouraged and the views of those involved in the change programme are to be respected, ongoing review and monitoring will need to take place to address any implementation challenges and continuously improve the model on the ground.

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## Success Factors

It is worth remembering that successful implementation of any proposed reforms will depend to a large extent on the state government's continued willingness to:

- Drive and effectively manage the implementation timetable
- Support the concept of a meritocracy and HR best practice
- Provide encouragement and reassurance from senior management that senior officers should embrace the proposed changes and act as HR Champions
- Conduct ongoing and auxiliary work post implementation to support the ongoing development of HRM.

Expectations should therefore be carefully managed and responsible stakeholders held to account.

# SPARC HRM 2013

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## HRM Frameworks

**2H:**

**Ethical HRM:**

**Questions and  
Case Studies**

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## Ethical HRM: Questions and Case Studies

### What Challenges Might HRM Professionals Be Faced With?

There are a number of acknowledged practical and ethical challenges faced by human resources management (HRM) professionals in African States, the primary of which is corruption which comes in a number of different forms.

Corruption poses a serious development challenge and results in the inefficient provision of services. It also erodes the institutional capacity of government as procedures are disregarded, resources are siphoned off, and public offices are bought and sold.

Public servants are expected to adhere at all times to the rules of ethical conduct, but this can present very real dilemmas. There is often only one correct way to deal with unethical behaviour.

This document provides some case studies for HRM professionals to use as a *starting point* to facilitate more detailed discussions about how to handle corruption in the real world.

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## Ethics and HRM

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Public servants are expected to adhere at all times to the rules, and within the Public Service, ethical conduct is always subject to formal prescriptions based on the policy of the ruling party, often expressed in terms of law. If public officials do not adhere to the rules, which entail acting in accordance with the formal prescriptions of the policies laid out, it could happen that conflicting actions may develop into ethical dilemmas.

### Corruption

Corruption poses a serious development challenge and results in the inefficient provision of services. It violates a basic principle of republicanism regarding the centrality of civic virtue. More generally, corruption erodes the institutional capacity of government as procedures are disregarded, resources are siphoned off, and public offices are bought and sold. At the same time, corruption undermines the legitimacy of government and such democratic values as trust and tolerance.

The ethical dilemma that faces the public servant with regard to corrupt practices as a result of private interests primarily concerns his/her reaction to the situation. If a corrupt practice or an attempt at corruption is discovered, it is quite possible that the official's personal loyalties or party political affiliations may be in conflict with his/her official duties.

The problem is that the selection of one path of action from among several alternatives is often made on the basis of personal preference, political or other affiliations, or even personal aggrandisement, thereby disregarding known facts and thus the possibility of rational decision making. It could well be that all the prescribed rules, regulations and procedures are adhered to but that the discretionary choice may be viewed as unethical or even corrupt.

Some of the most common examples of corrupt behaviour in the Public Service include the following:

- Nepotism
- Conformity
- Bribery
- Embezzlement
- Kickbacks
- Godfatherism.



## Challenging Unethical Behaviour

It has been acknowledged that the responsibility for maintaining standards and minimising unethical behaviour within the Public Service falls on the Public Service itself. If properly conceived, regulations governing conflicts of interest in the Public Service are directed towards erecting and maintaining an administrative and management system to protect the public decision-making process. Rather than detecting and punishing the wrongdoer after the fact, such a system reduces the risk of unethical behaviour occurring in the first place.

In a well managed administrative system, the incidence of unethical behaviour would be minimised and, where it did occur, swift disciplinary action would be the norm. Focus should, therefore, be placed on reforming Public Service procedures and systems to make them more accountable to the public interest. In other words, in an environment of unethical behaviour, significant Public Service reform will prove elusive if unethical practices are ignored.

A number of specific measures and strategies have been adopted in countries such as Ghana, Tanzania, Uganda, Morocco and Nigeria in an attempt to address unethical behaviour. They include:

- The establishment of ethics codes
- Improved remuneration
- Administrative reform
- Compulsory disclosure of assets and gifts
- Policy and programme rationalisation
- Introduction of core values and competencies
- Ethical conduct by public servants
- Senior managers increasing and enforcing ethical awareness and taking action against unethical conduct.

## Case Studies

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Ethics helps address the question “what should I do?” when confronting issues of right and wrong behaviour. The following example case studies are designed to assist HR practitioners to explore how to deal with the realities of implementing professional HRM in a public sector environment.

## Case Study 1: Recruitment

**Your Honourable Commissioner (HC) sends you a list of people to hire. What do you do?**

**Practical Solution:**

- Put the candidate through the recruitment process
- If the candidate does not meet the minimum criteria for selection go back to the HC, provide evidence of the selection scores and feedback, state the reasons why the candidate cannot be recruited and ask him/her to propose an alternative candidate
- Processes need to be put in place with harsh disciplinary sanctions such as gross misconduct for those who seek to unfairly influence the recruitment process. This will require changes to the Civil Service Rules and introduction of HR best practice policies but will allow the HR officer to 'push back' to a certain extent
- If the HC still insists that the candidate must be appointed then he/she should be employed on a lower grade or to a more appropriate position.

**You are asked by your Director to hire someone into the service at a certain grade level for which they are not qualified. What do you do?**

**Practical Solution:**

- Write to the Director explaining why the person does not qualify for the grade
- State also the grade that the person is qualified for and make a recommendation as to where they might be more appropriately deployed
- While there will be a desire not to 'step on the toes' of the Director, if clear procedures are put in place which prevent the junior HR officer being able to hire someone to a grade for which he/she is not qualified then any attempts to influence the hiring process should automatically trigger an investigation.

## Case Study 2: Deployment

**You work in the Service Matters Department in the Public Service Office and have been asked by your Permanent Secretary to deploy named officers to certain 'juicy' MDAs. What do you do?**

### **Practical Solution:**

- If the named officer is due for deployment and there is a vacancy, then the officer may be deployed
- If there is no vacancy in the 'juicy' MDA or the officer is not due for deployment, then the matter should be discussed with the Permanent Secretary and another MDA suggested
- Make the deployment process more transparent and skills based by introducing a formal deployment procedure which requires the prior review and agreement of a formal deployment panel – the more transparent the decision and the more people involved, the lower the potential for 'behind the scenes' decision making.

**You are required to redeploy an officer to another MDA but the officer refuses to leave as he/she is protected by a political godfather. What do you do?**

### **Practical Situation:**

- Write to the Head of Service so he/she can insist that the officer goes to the MDA if his/her skills could indeed usefully fill the gaps identified by the receiving MDA
- Agree that the officer must move as requested but could potentially go back to his/her preferred MDA at a later date.

### Case Study 3: Appraisal

**You are asked to rewrite an appraisal form by your Director to ensure the named officer is given a higher appraisal score and more favourable review. What do you do?**

**Practical Solution:**

- Provide your Director with documentary evidence which justifies the appraisal scores and feedback provided, based on your monthly meetings with the line manager
- Explain the knock-on effect the officer's poor performance has on other officers
- If the Director insists it must be altered try to get him/her to compromise on the extent to which it must be changed so the overall message is not lost, rather softened.

**You are told to fake appraisal documents to help someone get promoted. What do you do?**

**Practical Solution:**

- Introduce stringent procedures which require documents to be approved by a number of different stakeholders so documents cannot be altered without questions being asked.

## Case Study 4: Promotion

**You have been asked to promote someone without putting them through due process. What do you do?**

**Practical Solution:**

- Easy to do when promotion is based on tenure rather than merit
- Introduce a transparent and clear step-by-step meritocratic promotion process where all candidates have to be formally reviewed and discussed by a Committee
- This should make it much harder for someone to be promoted without being approved by the Committee
- If strict and clear procedures are put in place it should be very difficult to promote someone without due process as this would require the forging of documents which should be a serious disciplinary offence.

**You are asked by your Permanent Secretary to block the promotion of a junior officer. What do you do?**

**Practical Solution:**

- Ask the Permanent Secretary for the reasons for this so it can be explained to the line manager
- This should only be possible if the officer has actually underperformed, in which case they should not be promoted
- Review the promotion scores, the notes from your monthly meetings with the line manager and appraisal scores to provide feedback to the candidate on areas for improvement for the next promotion round.

## Case Study 5: Discipline

**You have been asked not to discipline an officer who is suspected of stealing money. What do you do?**

**Practical Solution:**

- The HR officer may feel that in this situation the appropriate response depends on how much was stolen or the gravity of the theft and who has asked not to discipline the officer
- Try to make sure the disciplinary process is at least followed, even if the outcome is forcibly 'dumbed down' to ensure this acts as a future deterrent
- If on investigation the gravity of the theft must require termination or disciplinary action consider blowing the whistle anonymously to the relevant authority.

**A GL10 officer is continuously absent without leave. He/She is known to be having a relationship with the Permanent Secretary of your MDA. What do you do?**

**Practical Solution:**

- There should be a separation of the personal from the professional
- However, out of respect for the Permanent Secretary the officer's absence should continue to be recorded and reported
- If the officer's absence continues the disciplinary process should be carried out
- The officer should also be asked why he/she is continuously absent – if the officer has no interest in working in his/her current post then an alternative, more appropriate position may be considered.

# SPARC HRM 2013

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## HR Practitioner Tools

**3A:**

HR Glossary

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## HR Glossary

This document includes (in alphabetical order) commonly used terms and definitions that are significant to the human resources (HR) function.

**360-degree feedback/Multi-source feedback:** a process in which someone's performance is assessed and feedback is given by a number of people who work closely with the individual, including his/her peers, subordinates, colleagues and customers

**Absenteeism:** the practice of regularly failing to turn up for work

**Accountability:** the requirement that officials answer to stakeholders on the disposal of their powers and duties, act on criticisms or requirements made of them and accept (some) responsibility for failure, incompetence or deceit

**Action learning:** a method of management development based on the completion of practical assignments and problem-solving tasks. It encourages both organisational learning and self-development, anchored in work and 'real time' and allows participants to transfer learning directly to work

**Adviser:** a person who gives advice in a particular field. Sometimes denotes a person who is not in a full-time established post and may be a political appointment

**Allowances:** current rewards other than base pay. These can be provided as part of the employment contract (e.g. transportation, housing, meals, telephone, travel, cost of living), or can be provided on a non-contractual basis or as intangible rewards (e.g. trips abroad or training)

**Annual leave:** the number of hours or days employees of an organisation are permitted to be away from their employment position within a single calendar year without consequences

**Annual hour contracts:** contracts of employment where the total hours to be worked in a 12-month period are specified, rather than the weekly hours

**Application form:** a form completed by job applicants which provides the information on which initial selection decisions are based

**Appraisal:** the process of evaluating the performance and assessing the development/training needs of an employee or the performance of an institution against its work programme, budget or strategic goals

**Appraiser:** the person responsible for undertaking an appraisal of an employee (known as the appraisee)

**Attendance record:** the official log of an employee's presence at work



**Attended time:** the time the worker actually spends at the workplace in any single period

**Attitude survey:** a tool used by management to assess the opinions and morale of the staff

**Back pay:** payment in arrears to make up for past under- or non-payment of wages

**Balanced scorecard:** a technique for measuring organisational success and identifying areas for improvement and action

**Band:** a range of pay which is offered to workers in the same job or grade

**Base pay/basic pay:** the rate of pay for a particular job or grade in an organisation, to which can be added various supplements, benefits, bonuses and allowances

**Basic working time:** the number of weekly or annual hours set out in an employee's contract of employment or in a collective agreement between a trade union and an employer

**Behavioural event interview:** an alternative term for situational interview

**Behavioural Observation Scale (BOS):** a technique for evaluating the performance of an employee which can be used as part of the appraisal process

**Benchmarking:** the technique of comparing organisations or ministries, departments and agencies (MDAs) in order to identify and share best practice

**Benefits:** employee benefits or fringe benefits form part of remuneration and consist of a broad range of special payments or benefits in kind

**Bio data:** pieces of information that can be objectively categorised (e.g. qualifications, years of relevant experience and positions of responsibility)

**Body language:** the set of non-verbal signals a person transmits through his/her posture, eye contact, gestures and facial expressions

**Bonus:** a payment made in addition to the basic wage or salary and which in most cases is linked to the achievement of a specific performance target or behavioural standard of some kind

**Brainstorming:** a problem-solving technique for generating ideas

**Bureaucracy:** an organisation's formal rules and procedures are usually referred to as bureaucracy. It is common for the term bureaucracy to be used as a criticism of an organisation. For example, employees will sometimes complain that the organisation is too bureaucratic, meaning that they feel too constrained and have a lack of autonomy

**Capacity, capacity development, capacity building:** *Capacity* – the skills, knowledge and

resources needed to perform a function. *Capacity development* – the process by which individuals, groups, organisations, institutions and countries develop their abilities, individually and collectively, to perform functions, solve problems and achieve objectives. *Capacity building* differs from capacity development in that the latter builds on a pre-existing capacity base. The aim of capacity development and capacity building is to help governments, organisations and people attain a level of self-sufficiency that enables them to effectively manage their own affairs

**Career:** the series of jobs that a person has throughout his/her working life

**Career management:** the process through which the motivations and abilities of employees are accessed and their personal development is planned and guided, in line with the opportunities available

**Career path:** a metaphor to describe the progress an individual makes through an organisation

**Champion of change:** a temporary role given to an officer which entails taking responsibility for a particular change initiative or a programme of change within an organisation

**Chartered Institute of Personnel Development (CIPD):** the professional association of personnel/human resource practitioners in the UK

**Civil service:** those branches of public service that are not legislative, judicial or military and in which employment is usually based on competitive appointment. The body of civilian employees of any level of government, not subject to political appointment and removal, normally hired and promoted in merit. The entire body of persons employed by the civil branches of a government

**Civil servant:** a term generally referring to administrators, technical and professional staff and their support staff paid for implementing the policies of national, state or local governments. Essentially those who work for a government ministry or department (but not a parastatal) at the federal or state level

**Clocking on/in:** the act of registering attendance at work

**Coaching:** a regular series of training or development sessions where an experienced employee with considerable expertise guides and advises a less experienced officer

**Code of conduct, code of ethics:** a written set of conventional rules, principles and expectations that are considered binding on any person who is a member of a particular group, in this case the civil service

**Collective bargaining:** careful interactions with labour or employee unions, addressing their grievances and settling the disputes effectively in order to maintain peace and harmony in the organisation. It is the art and science of understanding the employment (union–management) relations, joint consultation, disciplinary procedures, solving problems with

mutual efforts, understanding human behaviour and maintaining work relations

**Compensation:** the payment for work that compensates the employees for the utility of labour

**Competency:** the behaviours and attitudes required to deliver policies, services and functions efficiently and effectively and on which individual and team performance is assessed. The underlying behavioural characteristic of a person that results in effective or superior performance

**Competency-based pay:** a payment system that relates salary progression or a cash bonus to the display of specific competencies by individual employees

**Competitive advantage:** occurs when an organisation is implementing a strategy that has not yet been adopted by or been adopted as well by its current or potential competitors

**Conflict resolution:** the process of settling industrial disputes, which in many cases will involve the use of third-party intervention to conciliate, mediate or arbitrate between the two sides

**Consultant:** a person who offers advice to others based on a sound analysis of a given situation. Usually employed under a fixed-term contract to produce predefined outputs

**Consultation:** occurs when managers seek the views of employees and take them into account when making decisions. More widely, when government seeks the views of its citizens on issues that affect them such as service delivery standards

**Continuous improvement:** the concept that encourages employees and managers to look constantly for ways of making changes to any system or process that will improve performance

**Continuous learning:** the process through which employees and managers meet the challenge of perpetual change that faces many contemporary organisations in a highly competitive, turbulent environment

**Continuous professional development:** the concept that the members of a profession should commit themselves individually to improving their knowledge and understanding throughout their careers and keeping up to date with all developments within their chosen profession

**Contract of employment:** a formal, written agreement that an employee will work for an employer in return for wages, which comes into effect as soon as an offer of employment is accepted

**Core competencies:** key activities and skills present within an organisation or MDA that are required for the effective delivery of the mandates or strategy of that entity

**Core employees:** are those who undertake value-adding activities considered by management to be vital to the success of the organisation

**Corporate plan:** the result of a process in which an organisation, institution or business analyses its objectives, priorities, strategies and environment in light of its mandate, and determines how to bid for, organise and apply resources to achieving objectives, and meeting service delivery standards and targets. The plan guides the management and staff in a cohesive effort to carry out the organisation's mandate. It informs everyone involved (including the public and stakeholders) about the organisation's priorities and objectives. In the public sector a ministry, agency or other body will usually produce a corporate plan

**Counselling:** the provision of supportive and confidential advice to employees to help them overcome problems and cope with work or home-based crises

**Cross-functional team:** a group of employees who are from the same level in the organisational hierarchy but who all have specialist skills to offer

**Culture change programmes:** processes and systems designed to transform the attitudes and behaviour of employees and elicit their commitment to the values that senior management deem important to the success of the organisation

**Culture:** the set of shared understandings and assumptions the members of the organisation have about what the organisation is (beliefs), how it ought to be (values), and how organisational members should behave (norms)

**Curriculum vitae 'CV' or résumé:** a record of achievements – a personal history detailing education, qualifications, previous work experience and achievements and current job responsibilities

**Customer care:** the idea that service organisations and their workers should be highly responsive to the needs of customers and deliver quality service as a means of cultivating customer loyalty

**Customer service questionnaires:** information about employee performance that is gathered by managers from consumers and used to discipline, reward and identify training and development needs amongst employees

**Dead wood:** the term sometimes used to describe managers and professionals who are deemed to be ineffective

**Decentralisation:** occurs when power and control cease to be concentrated in a single location and instead are dispersed throughout the organisation

**Deduction from wages:** amounts deducted from an employee's gross wage by the employer before payment

**Demotion:** the act of moving employees down the organisational hierarchy, reducing their

responsibilities and status and lowering their remuneration

**Demotivation:** a loss of the motivation to work by employees

**Direct communication:** the process whereby managers contact employees through various techniques such as team briefings, cascaded communication and newsletters

**Direct reports:** the employees accountable to a particular line manager

**Disability:** arriving at a robust definition of disability can be difficult because different social groups have different views on what constitutes ability and disability. However, from an employment perspective a person may be considered disabled if he/she has a physical or mental impairment that has a substantial and long term adverse effect on his/her ability to carry out normal day-to-day activities. Long term means that the condition must last, or be likely to last, for more than 12 months, or is likely to last for the rest of the life of the person

**Disciplinary interview:** an interview to which an employee is called to reply to a complaint or charge under a formal disciplinary procedure

**Disciplinary procedure:** a formal procedure that is established by managers to uphold disciplinary standards

**Discipline:** a process of setting and enforcing acceptable standards of behaviour within the employing organisation, in many cases through the medium of a formal disciplinary procedure

**Discrimination:** in very broad terms, we can say that discrimination occurs when, on grounds that are not relevant to a particular purpose, one person, or a group of people, are treated less favourably than others on grounds such as religion, ethnicity, gender, disability, etc.

**Dismissal:** occurs when an employer terminates the employment contract

**Dismissal with notice:** the final penalty for employee misconduct that falls short of gross misconduct

**Dismissal without notice:** the immediate or summary dismissal that should only occur in the event of gross misconduct

**Dispute:** an employment or industrial dispute is an expression of conflict between employers and employees

**Diversity:** concept of recognising the wide variety of qualities possessed by people within an organisation

**Downsizing:** getting rid of employees. Planned reduction of organisation headcount due to changes in business strategy or goals

**Early retirement:** occurs when employees retire from their job before the normal contractual age of retirement

**Earnings:** the remuneration employees receive in return for work

**Effectiveness:** the capacity to realise organisational or individual objectives. Effectiveness requires competence; sensitivity and responsiveness to specific, concrete, human concerns; and the ability to articulate these concerns, formulate goals to address them and develop and implement strategies to realise these goals. A measure of the extent to which a project or programme is successful in achieving its objectives.

**Efficiency:** the ratio of useful work and output performed by a bureaucracy in relation to the human and financial resources put in. Working efficiently with a minimum of wasted effort or expense. A measure of the 'productivity' of the implementation process – how economically inputs are converted into outputs, or the optimal transformation of inputs into outputs

**E-learning:** the acquisition of competencies, knowledge and skills through electronic media such as the internet or an organisation's own intranet

**Employability:** the possession of marketable skills and attributes by an employee that are in demand from employers

**Employee:** a worker who is hired under a contract of employment

**Employee development:** the system of providing opportunities for employees within an organisation to reach their full potential (through improving skills and competencies)

**Employee relations:** this is concerned with preventing and resolving problems involving individuals, which arise out of or affect work situations. This maintains good employer – employee relationships that contribute to satisfactory productivity, motivation and morale

**Employment:** a term with two primary meanings. First, it is the state of being paid at work under a contract of employment. Second, it is the state of being gainfully occupied whether it is in an employed or self-employed capacity

**Employment law:** the body of law that governs the sphere of employment relations

**Employment status:** the classification of workers according to whether they are permanent employees who are employed under a contract of employment, or independent, temporary or self-employed workers who may work under a contract for service

**Equal opportunities:** the concept of ensuring fair treatment for all employees (or prospective employees) throughout the organisation

**Equal opportunity policy:** the set of procedures an organisation has established to ensure

the fair treatment of employees

**Executive coaching:** the development or strengthening of managerial competencies among senior managers through intensive dialogue with an independent consultant or senior HR officer

**Exit interviews:** used to gather data to improve working conditions, retain existing employees and identify operational and strategic areas for improvement across the MDA and the service as a whole

**Human capital:** this may be defined as the collective knowledge, skills, abilities and capacity to develop and innovate of the people working in an organisation

**Human resources:** the set of individuals who make up the workforce of an organisation

**Human resource development (HRD):** a subset of human resources management (HRM). A set of policies and processes for training and developing staff to meet the requirements of their current jobs and to underpin career development. HRD covers a broad spectrum and includes: induction, job-related knowledge skills and attitudes, competency development, professional skills and qualifications, coaching, management and leadership, and succession planning. It should always be planned and resourced to meet the requirements of the ministry or organisation and its impact regularly evaluated

**Human resources management (HRM):** the laws, regulations, policies and practices related to people in organisations: recruitment and selection, employment law and practice, HR development and training, promotion, discipline, grievance, dismissal, remuneration and reward, redundancy, retirement and pensions. HRM differs from personnel practice in that it is more strategic and not simply procedural. It is a strategic, proactive approach to the management of people. HRM is aligned with the goals of an organisation and its future direction. It ensures that once organisations have outlined their strategic goals, key people measures are then introduced to aid policy and strategic delivery

**Induction:** the process of receiving and welcoming employees when they first join an organisation and giving them the basic information they need to start work

**Industrial relations:** aspects of formal and collective relations between management and workers' representatives which are normally covered by collective bargaining

**Job:** an organisational unit consisting of a group of defined tasks or activities to be carried out or duties to be performed

**Job analysis:** detailed examination of the tasks (performance elements) that make up a job, the conditions under which they are performed, and what the job requires in terms of aptitudes (potential for achievement), attitudes (behaviour, characteristics), knowledge, skills, and the physical condition of the employee. Its objectives include (a) determination of the most efficient methods of doing a job, (b) enhancement of the employee's job satisfaction, (c) improvement in training methods, (d) development of performance

measurement systems, and (e) matching of job-specifications with the person specifications in employee selection

**Job description:** a job description or schedule is a list of the tasks, or functions, and responsibilities of a position. Typically, it also includes to whom the position reports, specifications such as the qualifications needed by the person in the job, salary range for the position, etc. A job description is usually developed by conducting a job analysis, which includes examining the tasks and sequences of tasks necessary to perform the job. The analysis looks at the areas of knowledge and skills needed for the job. Note that a role is the set of responsibilities or expected results associated with a job

**Job evaluation:** the process of assessing the relative demands of jobs with a view to allocating jobs to positions within a pay structure

**Job redesign:** a range of techniques that attempt to increase or alter the variety of tasks that employees perform in order to improve motivation and satisfaction at work, as well as more effective service delivery

**Key performance indicator (KPI):** a measure of achievement that can be attributed to an individual, team or department. KPIs are used to determine whether or not specific, pre-approved strategies and targets have been met in a predetermined timeframe and must be objectively measurable

**Learning and development:** the process of ensuring that the organisation has the knowledgeable, skilled and engaged workforce it needs. It can be used to describe specific, strategic HR interventions aimed at bettering the performance of individuals and groups in the organisation

**Learning culture:** a learning culture is one in which learning and improvement is recognised by senior management, line managers and employees generally as an essential organisational process to which they are committed and in which they engage continuously

**Learning organisation:** an organisation that facilitates the learning of all its members and continually transforms itself

**Mandate:** an official order or authorisation, usually written, given to a public organisation or person, to act on behalf of others. A legal authorisation given to an organisation or an appointed official to act on behalf of other people; permission to govern according to declared policies, considered to be given to a public organisation by a legislature or legal ruler or leader

**Mission statement:** a brief written statement of the purpose of a public (or private) organisation, ministry or department. Ideally, a mission statement guides the actions of the organisation, spells out its overall goal, provides a sense of direction, and guides decision making for all levels of management. Mission statements often contain the following:

- Purpose and aim of the organisation
- The organisation's primary stakeholders: clients, stockholders, etc.



- Responsibilities of the organisation towards these stakeholders
- Products and services offered.

**Nominal roll:** the list of persons occupying approved and funded posts (the establishment) in a public organisation

**Organisation behaviour theory:** describes how people within their organisations act individually or in groups and how organisations function in terms of their structures, processes and culture

**Organisational capability:** an organisation's ability to manage people to gain competitive advantage

**Organisational climate:** refers to the perceptions of members of an organisation of organisational features such as decision making, leadership and norms about work

**Organisational culture:** refers to the deep structure of organisations, which is rooted in the values, beliefs and assumptions held by organisational members

**Organisational development:** a planned and systematic approach to enabling sustained organisational performance through the involvement of its people

**Organisational learning:** is about the development and acquisition in organisations of knowledge, understanding, insights, techniques and practices in order to improve organisational effectiveness

**Organogram:** a diagram that shows the structure of an organisation and the relationships, lines of responsibility and relative ranks of its component parts and positions/jobs

**Pay band/Pay range:** a range or band of pay that is offered to workers in the same job or grade

**People management:** the ability to manage and develop people and gain their trust and cooperation to achieve results

**Performance:** is defined as embracing both outcome and behaviour

**Performance management:** a systematic process for improving individual, team and organisational performance

**Performance planning:** involves agreement between manager and individual on what the latter needs to achieve to raise standards and improve performance

**Person specification:** also known as job/role specification and defines the knowledge, skills and abilities (KSAs) required to carry out a role, as well as the education, training, qualification and experience needed to acquire the necessary KSAs

**Personnel:** the planning, organising, compensation, integration and maintenance of people for the purpose of contributing to organisational, individual and societal goals. A series of reactive, administrative tasks that enable the basic day-to-day employment contract to be fulfilled

**Policies:** the principles and statements of intent that should guide decision making, i.e. what does the state as an employer stand for, what is it committed to doing? Policies differ from rules, which detail the specific regulations that all officers must comply with, and also from operational guidelines or procedures, which outline how policies should be administered, with practical step-by-step instructions

**Probation:** the initial period of employment, often lasting several months, during which an employee is assessed in terms of his/her capability and suitability for permanent employment

**Procedures:** step-by-step sequences of actions that should be taken to attain particular objectives, which may be outlined in a given policy

**Programme:** a group of related projects or services directed towards the attainment of specific (usually similar or related) objectives. A time-bound intervention that differs from a project in that it usually cuts across sectors, themes and/or geographic areas, involves more institutions than a project, and may be supported by different funding sources

**Project:** a planned undertaking designed to achieve certain specific objectives within a given budget and within a specified period of time. A time-bound intervention that consists of a set of planned, interrelated activities aimed at achieving defined objectives

**Promotion:** the act of moving an employee up the organisational hierarchy, usually leading to an increase in responsibility, status and a better remuneration package, based on his/her individual merits and performance

**Psychometric test:** the generic term used to describe a wide range of tests that measure cognitive ability, behavioural preferences and attitudes/values. These may include verbal or numerical tests

**Reward:** the system of pay and benefits used by an organisation to reward workers; money is not the only method

**Reward strategy:** a declaration of intent that defines what the organisation wants to do in the future to develop and implement reward policies, practices and processes that will further the achievements of its strategic goals and meet the needs of its stakeholders

**Role profile:** defines key result areas, accountabilities and competencies for an individual role

**Role:** the position, which includes specific requirements, that people are responsible for in their work

**Service charters:** statements of service targets published by service-providing agencies that set standards for the delivery of public services by the agency to the public and can define service level expectations and compensation to be provided to the public if they are not achieved. These are known by such names as 'Citizens Charters' or 'Public Service Charters'

**Shared service centres:** provide shared services that are required across an organisation (or sometimes, across several partner organisations), in areas such as finance, IT or HR, from a centralised or single unit

**Social inclusion:** gives targeted support through initiatives specifically designed to address rights or needs particular to women or men or vulnerable groups

**Stakeholders:** groups that have a role and interest in the objectives and implementation of a programme or project. They include target groups, direct beneficiaries, those responsible for ensuring that the results are produced as planned, and those that are accountable for the resources that they provide to that programme or project. A person, group, organisation or other body who has a 'stake' in the area or field where interventions and assistance are directed. Target groups are always stakeholders, whereas other stakeholders are not necessarily target groups

**Strategic human resources development (strategic HRD):** this involves introducing, eliminating, modifying, directing and guiding processes in such a way that all individuals and teams are equipped with the skills, knowledge and competencies they require to undertake current and future tasks required by the organisation

**Strategic human resources management (strategic HRM, or SHRM):** may be regarded as an approach to the management of human resources that provides a strategic framework to support long term strategic goals and outcomes

**Strategic learning and development:** an approach to helping people to learn and develop that is concerned with how the organisation's goals will be achieved through its human resources by means of integrated learning and development

**Strategic performance management:** focuses on what needs to be done to help the organisation achieve its business goals

**Strategic planning:** the formal process that takes place, usually in larger organisations, defining how things will be done

**Structure, organisational structure:** organisational structure refers to the hierarchy of an organisation (ministry, department, etc.) and how the components of this hierarchy work together to achieve the objectives of the organisation. Organisational structure is comprised of functions, relationships, responsibilities, authorities and communications of individuals within each department and the way in which an organisation has arranged its lines of authority and communication, and allocated duties and responsibilities; the structure may be of a divisional, geographic or functional kind or some combination of these

**Succession planning:** the process of identifying and developing officers within the MDA to fill key positions. 'Key positions' might include leadership positions or specialised positions and roles that may be technical, content-specific, or otherwise hard to replace. Succession planning is generally considered to be a critical element of workforce planning

**Talent audit:** identifies those with potential, often through a performance management assessment

**Talent mapping:** identifies the top performing and talented employees to think of ways to develop, nurture and retain them

**Talent planning:** refers to the process of establishing how many and what sort of talented people are needed now and in the future

**Talent:** what people have when they possess the skills, abilities and aptitudes that enable them to perform effectively in their roles

**Team orientation:** the ability to work cooperatively and flexibly with other members of the team with a full understanding of the role to be played as a team member

**Vision statement:** the guiding purpose and sense of direction that inspires people. An aspirational description of what an organisation would like to achieve or accomplish in the mid term or long term future. It is intended to serve as a clear guide for choosing current and future courses of action. See also mission statement

**Work design:** the creation of systems of work and working environments that enhance organisational effectiveness and productivity, ensure that the organisation becomes 'a great place in which to work' and are conducive to the health, safety and well-being of employees

**Workforce planning:** systematic identification and analysis of what an organisation is going to need in terms of the size, type and quality of workforce to achieve its objectives. It determines what mix of experience, knowledge and skills is required and sequences steps to get the right number of right people in the right place at the right time. It looks at what an organisation needs to accomplish in a given period of time; what knowledge, skills and experience are required to get the job done; and how large and what type of workforce is required to provide that mix of skills, knowledge and experience

# SPARC HRM 2013

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## HR Practitioner Tools

**3B:**

**Guide to  
Personnel  
Record Keeping**

**sparc**

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## **Guide to Personnel Record Keeping**

This document is intended to provide a guide to the standardised record keeping of personnel records in the state.

It should be read in conjunction with the MDA's own internal filing and registry procedures.

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# Chapter 1: Personnel Record Keeping Principles

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This chapter describes general principles governing the creation, maintenance, and disposition of records used to document personnel records, established by the Office of the Head of Service (OHOS) or other responsible ministry, department or agency (MDA).

Records include all papers, maps, photographs, machine-readable materials or other documentation, regardless of physical form/virtual form (electronic), made or received by the government in connection with the transaction of public business and preserved as evidence of decisions, operations or other activities of the government.

Personnel records may be created because they are required by:

- Statute or executive order
- Regulation
- Operational guidance from service-wide MDAs
- MDA records management programmes.

Each office or programme that requires agencies to create personnel records, which may be used in making any determination about an individual, is responsible for establishing minimum standards of accuracy, relevancy, necessity, timeliness and completeness of the record. An MDA holding an Official Personnel Folder (OPF) concerning one of its employees is the custodian of the OPF during the period the employee is part of the MDA workforce. The MDA is responsible for the maintenance of that record regardless of format or media employed.

An MDA may establish its own personnel record keeping requirements to meet special needs. If an MDA establishes its own system of records, the MDA is responsible for ensuring the keeping of these documents is compliant with any government data management policy that might exist.

MDAs should have management controls to ensure personnel records:

- Adequately document human resource management operations
- Are accurate and timely
- Are protected against loss or unauthorised alteration
- Document the employment history of individuals employed by the state government
- Can be located when necessary
- Are retained and disposed of as required
- Are secured against unauthorised access.

Access to personnel records should be limited to those whose official duties require such access. The records should remain subject to the MDA's control at all times. Any employee who discloses personal information from personnel records knowing that such a disclosure is unauthorised may be subject to disciplinary action.



Electronic records are information recorded in a form only a computer can process. Electronic formats include any media read by a computer. Where electronic systems are used, they should:

- Be thoroughly documented
- Be capable of producing legible paper copies of all records
- Have access controls to ensure a high level of security and confidentiality
- Allow correction and removal of erroneous records under strict authorisation control
- Include backup and disaster recovery procedures
- Provide for regular recopying, reformatting, and other maintenance necessary to ensure that the records will be retained and useable throughout their life cycle
- Identify information in a way that authorised users can retrieve and maintain the required records.

## Chapter 2: Establishing Personnel Records

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This chapter describes procedures for establishing inter-MDA personnel records when an MDA hires an individual. Inter-MDA personnel records include:

- Personnel folders
- Medical folders
- Performance records.

Each employee should have a single personnel folder that will document the entire period of service. The procedures described in this chapter are designed to ensure all appropriate inter-MDA personnel records are available in a single folder.

OHOS or MDA instructions should be followed when establishing employee personnel, medical and performance files. If long term occupational medical records are created for the employee, these records should be combined in a single medical folder that will be used for the entire period of service. Performance records transferred from a previous employer may be filed with performance records created in the current MDA.

Personnel records that document an individual's state career are placed in a single paper OPF or electronic OPF. It is especially important to label the personnel file correctly. The critical identification information is:

**NAME:** The employee's legal name should appear exactly as it appears on his/her birth certificate.

**DATE OF BIRTH:** The date of birth should appear exactly as it appears on his/her birth certificate.

**STAFF ID NUMBER:** The employee's unique staff ID number should be recorded directly under his/her name.

**PERFORMANCE RECORDS:** The OPF should contain the performance records transferred from MDA to MDA. If the performance records are not in the folder and it appears the employee was subject to a performance appraisal system, request the records from the former MDA.

**MEDICAL RECORDS:** Review records in the employee medical folder to ensure they are in chronological order. Combine these records with any medical records created during the appointment process.

**PERSONNEL RECORDS:** Check the documents for completeness and accuracy. Follow the appropriate programme instructions to correct any errors. Combine all appropriate records in chronological order in a single folder.

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## Chapter 3: Maintaining the Personnel Folder

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### Filing Documents

Records are filed in the OPF to document events in an individual's state employment history that have long term consequences for the employee and the government. Care should be exercised in filing documents correctly to ensure all documents pertaining to an employee's rights and benefits are available in the personnel folder when needed.

Before filing documents in the personnel folder:

- Make sure the document should be filed in the personnel folder. Some documents must never be filed in the personnel folder (e.g. talent maps, documents relating to other officers or a group of officers, confidential HR documents, tools or templates to aid decision making). Other documents belong in case files rather than the personnel folder
- Place the document correctly in chronological order.

### 'Jointly Owned' Personnel Folders

Chapter 1 of this guide indicated that the 'parent' MDA is responsible for all personnel folder records that are established under its record keeping authority.

MDAs maintaining records under the parent MDA's record keeping authority must establish a single personnel folder for an employee's entire state employment history. This single folder may contain personnel records established by agencies that have their own personnel folder record keeping authority. We refer to such folders as jointly owned personnel folders.

Once an MDA receives or establishes a jointly owned OPF, that MDA must:

- Maintain a single personnel folder, containing all required records
- Use all records to make personnel decisions affecting the employee

- Provide a copy of records to anyone with the employee's written permission to receive or review the records
- Disclose information from all records to MDA employees and officials who need the records to perform their duties.

However, they may not:

- Amend any records in the folder that the responsible MDA does not own
- Destroy any records in the folder that the responsible MDA does not own
- Remove any records that the responsible MDA does not own
- Adjudicate an appeal of an amendment to a record that the responsible MDA does not own
- Enter into a settlement agreement on disposition of records that the responsible MDA does not own
- Disclose information to the public from any record that the responsible MDA does not own.

The MDA maintaining a jointly owned OPF may wish to initiate one or more of the above-listed actions or may receive a request for such actions. In such situations, the maintaining MDA should refer the proposed action or the request to the MDA that owns the records.

## **Chapter 4: Responding to Requests for Information**

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### **Request from Current Employee**

An employee's OPF must be made available to the employee for review upon request. This is called access. Employees are required to present proper identification before the personnel folder is provided to them. Employees reviewing their own folders must be accompanied by a record custodian at all times.

### **Amendment Requests**

Amendment of personnel folders means the correction, addition, deletion or destruction of a specific portion of a folder. Any request for amendment should include:

- A precise identification of the record to be amended
- Identification of the specific material to be deleted, added or changed
- A written statement of the reasons for the request, including all available material substantiating the request.

In processing amendment requests, the MDA should ensure any amendments comply with the state's record keeping procedures and regulations.

When an MDA denies an employee's request to amend a personnel record, the employee should be notified of the decision in writing.

## Requests from Government Officials

Disclosure is providing personal review of a record, or a copy thereof, to someone other than the data subject or the data subject's authorised representative.

Personnel and medical folders are available to officials within the MDA who need to review records to perform their assigned official functions. MDA officials include HR officers, managers and supervisors.

Government officials outside the MDA may also be authorised to review an employee's records under limited conditions such as:

- Where the release is specifically authorised by the OHOS
- For a routine use where government-wide systems allow disclosure of the records.

When in doubt, check with the OHOS whether records may be disclosed.

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## Chapter 5: Transferring Records

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When an employee leaves the MDA, the losing personnel office sends inter-MDA personnel records to the receiving MDA.

If the employee is leaving service, the losing personnel office sends inter-MDA personnel records to the OHOS.

This chapter describes the procedures used to transfer inter-MDA personnel records (personnel folders, medical folders, performance records) to another personnel office or the OHOS.

The general rule is that each employee will have a single personnel folder that documents the entire period of service. If long term occupational medical records are created during the employee's service, those records will be in a single medical folder. The personnel and medical folder 'travel' with the employee throughout his/her entire career. When an employee separates from service, the folders are stored by the OHOS for archiving.

### Transferring Records to Another MDA

Requests for an employee's personnel records should be made in writing and should include documentation of the employee's appointment in the requesting MDA. The records should be sent to the new MDA promptly unless some records that should be transferred are not available. If there is a delay, the requester should be notified.

There are a number of steps to consider when preparing personnel folders for transfer:

- Check the personnel folder to make sure that it contains all the long term documents that should be in the folder
- Make sure that all documents are filed in chronological order
- Send the folders to the next MDA.

When long term paper documents that should have been transferred to the next MDA are discovered after the folders have been transferred, they should immediately be forwarded attached to a cover letter that identifies the employee by name, staff ID number, and date of birth.

### Transferring Records to the OHOS

When an employee separates from the service, the last employing MDA sends the OPF to the OHOS for storage.

Under normal circumstances, the personnel folder, including performance records and the medical folder should be transferred to the OHOS for storage within 90 days after an employee separates from the service, unless particular circumstances require them to be retained for longer, such as:

- A retirement or death claim is being processed
- The MDA expects to reemploy the person shortly after the separation
- The employee has an ongoing appeal, grievance, complaint or similar process
- The employee is entitled to severance pay.

Former employees' request for copies of their personnel records must be in writing and should include:

- The full name (or names) used while employed
- Staff ID number
- Written signature
- Proof of identity
- Date of birth
- If known, the year of separation and last employing MDA
- An address to send the response/copy of records as well as a daytime telephone number.

Personnel records should be securely packaged to ensure that they arrive in good condition. Employees are not authorised to carry their own records to the next employer. Records must be sent via official courier and receipt formally acknowledged.

# SPARC HRM 2013

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## HR Practitioner Tools

**3C:**

### HR Database Part 1: Instructions

*(Electronic copy of database is document 3D on accompanying CD)*

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## HR Database Instructions

Keeping an up-to-date and accurate record of the personnel records of all active officers in the ministry, department or agency (MDA) is critical if more strategic human resources (HR) activities and planning are to be undertaken. This tool is not a substitute for keeping accurate and up-to-date personnel records to manage the legal and financial aspects of contracts of employment, but it can be a useful tool to collate and analyse information for workforce planning and capacity building.

*(Refer to the 'Guide to Personnel Record Keeping' document in this Resource Suite for more information and guidance on maintaining accurate, protected and reliable personnel records.)*

To assist with these activities, a simple database has been created in Microsoft Excel (*see CD for an electronic copy of this tool*), which can be used as a first step to compile the necessary information. This is a simple and non-secure tool, which can be used as a first step towards more comprehensive records. It is **not** an alternative to a formal, secure human resources management information system (HRMIS), which should be the goal of all state governments. But it will allow HR practitioners to experiment and test ideas about collating and maintaining HR information, especially for workforce planning and capacity-building purposes. The notes below provide step-by-step instructions for using the database to collate and use some basic relevant information on their officers for HR purposes.

**IMPORTANT: This spreadsheet is not a substitute for formal secure personnel records or any HRMIS based on these.**

### What the Spreadsheet Can Do:

The spreadsheet allows the entry of a wide range of HR-relevant data for each officer. In some cases data is entered by typing in the cell. In many cells a 'drop-down' menu will appear, which gives a number of options to choose from. This improves the ability to filter and sort the data according to the information to be analysed. *(The drop-down menus are not exhaustive and can be customised to specific circumstances and needs. See instructions below on how to expand and edit the drop-down menus.)*

Once data has been entered for each officer, the spreadsheet can then be interrogated by sorting and filtering by each column, using the drop-down menus in the title cell of each column.

It is a good idea to create a 'test' version of the spreadsheet, and enter a few fictitious records to experiment with how to use the spreadsheet and see what it can do.

## Completing the HR Database Template

### 1. Opening, Saving and Updating the Spreadsheet:

- Only one spreadsheet should be opened and updated at any one time by an approved HR officer to avoid creating multiple or partially updated records
- To open the HR database double-click on the spreadsheet icon in the relevant saved and confidential drive on your computer
- Note that the spreadsheet contains macros and is in the macro-enabled file format. Upon opening the file, you should receive a message saying 'Macros Have Been Disabled'. Click on the Option button and select 'Enable This Content'
- BEFORE DOING ANYTHING ELSE click on the Excel menu in the top left-hand corner of the window and click 'Save As'
- Then IMMEDIATELY save the spreadsheet with the current date in the following format: MDA name, HR database, DD/MM/YYYY e.g. 'Ministry of Education HR Database Template 02.03.2013'
- In the 'Personnel Records – Active' worksheet select the name of your MDA from the drop-down list in cell C2 and type the current date in cell C4
- You are now ready to update the spreadsheet.

### 2. Archiving Old Spreadsheets:

DO NOT DELETE HISTORICAL VERSIONS OF THE SPREADSHEET – these should be moved and stored in a designated and confidential archive folder.

### 3. Adding Information to the Spreadsheet:

- Personnel data should all be added in the 'Personnel Records – Active' worksheet
- Columns that are not relevant or data that cannot feasibly be captured should be left blank (do not delete any columns)
- It is important that the data stored for each officer is contained within a single row in the 'Personnel Records – Active' worksheet, i.e. each line should relate to one officer only
- Data for the same officer should never be entered into different rows in the 'Personnel Records – Active' worksheet.

### 4. Updating the 'Drop-Down List' Worksheet:

The drop-down menus are not exhaustive and can be customised to specific circumstances and needs. The drop-down list of options should be amended/added to in the 'Drop-Down Lists' worksheet as follows:

**Step 1** – Click on the 'Drop-Down Lists' worksheet

**Step 2** – Identify the relevant drop-down list to be amended

**Step 3** – Amend, add to or delete from the relevant drop-down list



**Step 4** – Click on the ‘Update Drop-Down Lists’ macro button in cell B2 of the worksheet. The updated drop-down lists should now be reflected in the ‘Personnel Records – Active’ worksheet. If this is not the case, then the macros contained in the spreadsheet have been deactivated. To reactivate the macro, close the spreadsheet and reopen. Upon opening the file, you should receive a message saying ‘Macros Have Been Disabled’. Click on the Option button and select ‘Enable This Content’.

## **5. Entering the Data: Column by Column Guidance**

### **Personal Details: (Columns A–N)**

‘Unique Staff ID Number’ – Enter here the officer’s unique staff ID number that will be used to refer to a single officer throughout his/her career in the service. This may be an Oracle number or other automatically generated number. It is important that this number relates to a single officer only and is approved for use to avoid more than one officer being assigned the same number

‘First Name’ – Enter here the first given legal name of the officer

‘Surname’ – Enter here the last given family name of the officer

‘Address’ – Enter here the officer’s address

‘Local Government Area’ (LGA) – Select the officer’s LGA from the drop-down menu

‘Telephone Number’ – Enter here the officer’s contact details

‘Date of Birth’ – Enter here the date of birth recorded on the officer’s approved birth certificate

‘Nationality’ – Select the officer’s nationality from the drop-down menu

‘State of Origin’ – Select the officer’s state of origin from the drop-down menu

‘Gender’ – Select the officer’s gender from the drop-down menu

‘Religion’ – Select the officer’s religion from the drop-down menu

‘Ethnicity’ – Select the officer’s ethnicity from the drop-down menu

‘Disability’ – Select the officer’s disability (if any) from the drop-down menu

‘Marital Status’ – Select the officer’s marital status from the drop-down menu.

**Current Position: (Columns O–V)**

'Job Title' – Select the officer's job title from the drop-down menu

'MDA' – Select the name of the officer's MDA from the drop-down menu

'Department' – Enter here the name of the officer's current department. If the officer moves departments while working in the MDA, then the existing data should be replaced (but only once the spreadsheet has been opened and saved as outlined above)

'Unit' – Enter here the name of the officer's current unit. If the officer moves units while working in the MDA, then the existing data should be replaced (but only once the spreadsheet has been opened and saved as outlined above)

'Cadre' – Select the officer's cadre from the drop-down menu

'Grade Level' – Select the officer's grade level from the drop-down menu

'Manager First Name' – Enter here the first given name of the officer's line manager. If the officer changes line manager while working in the MDA, then the existing data should be replaced (but only once the spreadsheet has been opened and saved as outlined above)

'Manager Surname' – Enter here the last given family name of the officer's line manager. If the officer changes line manager while working in the MDA, then the existing data should be replaced (but only once the spreadsheet has been opened and saved as outlined above).

**Educational Experience: (Columns W–Y)**

'Highest level of education' – Select the officer's highest level of education from the drop-down menu

'Highest qualification obtained' – Select the officer's highest qualification from the drop-down menu

'Highest professional qualification' – Select the officer's highest professional qualification from the drop-down menu.

**Employment History: (Columns Z–AC)**

'Nature of employment' – Select the officer's employment type from the drop-down menu

'Commencement date' – Enter here the date the officer first joined the service

'Confirmation date' – Once the officer has been confirmed, enter here his or her confirmation date

'MDAs worked in' – List here any other MDAs the officer has served in and ideally details of

any experience gained/duty posts held.

**Career Development: (Columns AD–AG)**

‘Date of last promotion’ – Enter here the date the officer was last promoted

‘Eligibility date for next promotion’ – The date of last promotion, current grade level and cadre should all be used to calculate the date of the officer’s eligibility date for next promotion. That does not mean he/she should be automatically promoted at this time but the HR officer should use this information to initiate meaningful performance-based promotion discussions with the relevant line manager

‘Last appraisal score awarded’ – Enter here the last overall appraisal score awarded

‘Date of last appraisal score awarded’ – Enter here the date of the last appraisal score awarded.

**Training History: (Column AH)**

‘Training courses attended and date’ – Enter here details of any training or conferences attended relevant to the officer’s current post, including the dates attended.

# SPARC HRM 2013

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## HR Practitioner Tools

**3E:**

**Job Evaluation/Job  
Classification**

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## **Job Evaluation/Job Classification**

Job evaluation is the analysis and evaluation of work for the purpose of determining the relative value of jobs within an organisation. Job evaluation may also provide valuable information for organisational analysis and for human resources (HR) planning and management strategies such as succession planning, performance management, compensation, etc.

This tool provides guidance and templates to assist with job analysis, preparation of job descriptions, and job evaluation.

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# Understanding Job Evaluation

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Job evaluation is the analysis and evaluation of work for the purpose of determining the relative value of jobs within an organisation. Job evaluation may also provide valuable information for organisational analysis and for HR planning and management strategies such as succession planning, performance management, compensation, etc.

For a job evaluation system to be effective, care must be taken in ensuring the system is as objective as possible. It is important that each job be evaluated on the basis of **current, regular and ongoing work conditions and job content**. It is also essential that the focus of the evaluation process be on the purpose, scope and responsibilities of work assigned to the position, and not an incumbent's personal qualities or performance. In other words the focus is on the position and not the individual(s) in the position.

As jobs are very often affected in some way by organisational change, maintaining the job evaluation system requires that departments periodically review their organisation's design and structure to determine if significant changes have occurred. Any change in an organisation's structure may alter the content of a job, which may result in an adjustment in the evaluation of the job. Ideally the position description should be updated every time there is a substantial change to a position's purpose, scope and/or responsibilities.

Job evaluation will involve some level of subjectivity. To reduce subjectivity the ministry, department or agency (MDA) will be required to form a Job Evaluation Committee (JEC). The JEC shall meet jointly to evaluate all positions being evaluated. Membership on this committee will be a representation from a cross-section of job classes to every extent possible. The JEC will evaluate all jobs within the MDA, as well as maintain the integrity of the selected job evaluation system. Whenever possible job evaluation decisions shall be unanimous and deemed final and binding upon the parties, subject to appeal procedures.

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## Job Classification Method

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Jobs are classified into an existing grade/category structure or hierarchy. Each level in the grade/category structure has a description and associated job titles. Each job is assigned to the grade/category providing the closest match to the job. The classification of a position is decided by comparing the whole job with the appropriate job grading standard. To ensure equity in job grading and wage rates, a common set of job grading standards and instructions are used. Because of differences in duties, skills and knowledge, and other aspects of trades and labour jobs, job grading standards are developed mainly along occupational lines.

The standards do not attempt to describe every work assignment of each position in the occupation covered. The standards identify and describe those key characteristics of occupations that are significant for distinguishing different levels of work. They define these key characteristics in such a way as to provide a basis for assigning the appropriate grade level to all positions in the occupation to which the standards apply.

The basic purposes of classifying jobs are:

- To help in recruitment and selection by defining significant qualification standards
- To help in designing and developing standards for performance and appraisals
- To allocate responsibilities aligned with the company's mission and vision and those that help in the realisation of the organisation's business plans and strategies
- To identify career and growth paths in organisations
- To establish standards for remuneration.

## Guiding Rules for Job Evaluation

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- Jobs must be properly understood before they can be evaluated hence, good quality information is required in the shape of job descriptions, which make the content and context of the job clear
- Job evaluation is a judgemental, not a scientific, process; thus, every effort must be made to minimise subjectivity. This is achieved by having people with knowledge of the sector, function or organisation involved and by having a number of factors to make judgements about
- The task of the evaluators is to make consistent judgements and the use of the evaluation method is the tool that enables this to happen
- Each decision is properly recorded in order that the reasoning is documented for future use when maintaining the scheme as jobs change, or dealing with appeals when job holders consider the evaluators are at fault
- It is jobs that are evaluated not job holders
- The evaluation is based on a fully acceptable level of performance by occupants of the job
- The job is evaluated as it exists today
- Present pay, status or grading are not relevant
- Jobs can only be evaluated if they are understood.



# Job Evaluation Process

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## Job Analysis

Job analysis is a process to identify and determine in detail the particular job duties and requirements and the relative importance of these duties for a given job. Job analysis is a process where judgements are made about data collected on a job.

While job analysis data may be collected from incumbents through interviews or questionnaires, the product of the analysis is a description or specifications of the job, not a description of the person.

Job analysis answers the following important questions:

- What tools, materials, and equipment are used to perform the tasks in the job?
- What methods or processes are used to perform the tasks in the job?
- What are the specific duties for the position? This puts the position in context and spells out broad responsibilities
- What are the critical tasks and key result areas of the position? The question helps to isolate the most critical activities that the position holder is expected to perform
- What are the discrete outcomes of the job for which the person appointed will be held accountable and evaluated on?
- What behaviours, skills, knowledge and experience are the most important to the programme in achieving the key results and outcomes? This question focuses on the specific personal qualities that are necessary to best meet the job requirements.

## Methods of Job Analysis

Several methods exist that may be used individually or in combination. These include:

- Review of job classification systems
- Incumbent interviews
- Supervisor interviews
- Expert panels
- Structured questionnaires
- Task inventories
- Checklists
- Open-ended questionnaires

- Observation
- Incumbent work logs.

A typical method of job analysis would be to give the incumbent a simple questionnaire to identify job duties, responsibilities, equipment used, work relationships, and work environment. However, be aware that the answers may reflect current practice and may not provide information on what the job *should* cover. The completed questionnaire would then be used to assist the *job analyst* who would then conduct an interview of the incumbent(s). A draft of the identified job duties, responsibilities, equipment, relationships, and work environment would be reviewed with the supervisor for accuracy. The job analyst would then prepare a job description and/or job specifications.

The method used in job analysis will depend on practical concerns such as type of job, number of jobs, number of incumbents, and location of jobs.

### What Aspects of a Job Are Analysed?

Job analysis should collect information on the following areas:

- **Duties and Tasks:** the basic unit of a job is the performance of specific tasks and duties. Information to be collected about these items may include: frequency, duration, effort, skill, complexity, equipment, standards, etc.
- **Environment:** this may have a significant impact on the physical requirements to be able to perform a job. The work environment may include unpleasant conditions such as offensive odours and temperature extremes. There may also be definite risks to the incumbent such as noxious fumes, radioactive substances, hostile and aggressive people, and dangerous explosives
- **Tools and Equipment:** some duties and tasks are performed using specific equipment and tools. Equipment may include protective clothing. These items need to be specified in a job analysis
- **Relationships:** supervision given and received. Relationships with internal or external people
- **Requirements:** the knowledge, skills, and abilities (KSAs) required performing the job. While an incumbent may have higher KSAs than those required for the job, a job analysis typically only states the minimum requirements to perform the job.

## Job Descriptions

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A job description clarifies work functions and reporting relationships, helping employees understand their jobs. Job descriptions aid in maintaining a consistent salary structure. Performance evaluations may be based on job descriptions.

### Duty Statements

Well-written duty statements contain action words that accurately describe what is to be done.

Duty statements should focus on primary, current, normal, daily duties and responsibilities of the position (not incidental duties, an employee's qualifications or performance, or temporary assignments). Related or similar duties should be combined and written as one statement.

Each duty statement should be a discreet, identifiable aspect of the work assignment, described in one to three sentences, and should be outcome-based, allowing for alternate means of performing the duty, changes in technology, preferences of employees and supervisors, and accommodations of workers with disabilities, without altering the nature of, and/or the duty itself.

Examples of duty statements are:

- *Compiles* reports on a quarterly basis to ...
- *Adjusts* height of lathe tool ...
- *Drives* tractor to worksite ...
- *Opens* valve to flush pipe
- *Listens* to customer at counter
- *Compares* department expenses with budget...

Duty statements typically contain three parts: 1) the **Verb**, the **Object**, and a **Purpose**. Examples of these parts of duty statements are shown below:

Verb	Object	Purpose
Collects	financial data	to evaluate budget requests.
Conducts	analytical studies	to support financial planning.
Compiles	enrolment data	for distribution to administrators.
Cleans	computer equipment	in conformance with established schedules.
Drives	pickup truck carrying supplies	to job sites.
Overhauls and repairs	equipment	daily, or as needed.

The sample form below may help in identifying the necessary information to create duty statements.

Worksheet for task statements				
Who?	Performs what action?	To whom or what?	Using what tools, equipment, methods?	To achieve what result?
Subject	Action verbs	Object of verb	Phrase	In order to ...
The worker				
Task statement				

## The Content of Job Descriptions

The content of job descriptions should identify and describe:

### Mental Functions

- **COMPARING** – Judging the readily observable functional, structural, or compositional characteristics (whether similar to or divergent from obvious standards) of data, people, or things
- **COPYING** – Transcribing, entering, or posting data
- **COMPUTING** – Performing arithmetic operations and reporting on and/or carrying out a prescribed action in relation to them
- **COMPILING** – Gathering, collating, or classifying information about data, people, or things. Reporting and/or carrying out a prescribed action in relation to the evaluation are frequently involved
- **ANALYSING** – Examining and evaluating data. Presenting alternative actions in relation to the evaluation is frequently involved
- **COORDINATING** – Determining time, place, and sequence of operations or action to be taken on the basis of analysis of data. May include prioritising multiple responsibilities and/or accomplishing them simultaneously
- **SYNTHESISING** – To combine or integrate data to discover facts and/or develop knowledge or creative concepts and/or interpretations.

### Relations with Others

- **SUPERVISION (given)** – Coordinating and directing the activities of one or more subordinates

- SUPERVISION (received) – Independence of actions; authority to determine methods of operation
- NEGOTIATING – Exchanging ideas, information, and opinions with others to formulate policies and programmes and/or jointly arrive at decisions, conclusions, solutions, or solve disputes
- COMMUNICATING – Talking with and/or listening to and/or signalling people to convey or exchange information; includes giving/receiving assignments and/or directions
- INSTRUCTING – Teaching subject matter to others, or training others through explanation, demonstration, and supervised practice; or making recommendations on the basis of technical disciplines
- INTERPERSONAL SKILLS/BEHAVIOURS – Dealing with individuals with a range of moods and behaviours in a tactful, congenial, personal manner so as not to alienate or antagonise them
- CONTROL OF OTHERS – Seizing, holding, controlling, and/or otherwise subduing violent, assaultive, or physically threatening persons to defend oneself or prevent injury. Body strength and agility of all four limbs is necessary.

#### Physical Demands (Strength)

- SEDENTARY – Exerts up to 10 lbs of force occasionally and/or a negligible amount of force frequently or constantly to lift, carry, push, pull, or otherwise move objects, including the human body. It involves sitting most of the time, but may involve walking or standing for brief periods of time
- LIGHT – Exerts up to 20 lbs of force occasionally, and/or up to 10 lbs of force frequently, and/or a negligible amount of force constantly to move objects. Physical demands are in excess of those of sedentary work. Light work usually requires walking or standing to a significant degree
- MEDIUM – Exerts up to 50 lbs of force occasionally, and/or up to 20 lbs of force frequently, and/or up to 10 lbs of force constantly to move objects
- HEAVY – Exerts up to 100 lbs of force occasionally, and/or up to 50 lbs of force frequently, and/or up to 20 lbs of force constantly to move objects;
- VERY HEAVY – Exerts in excess of 100 lbs of force occasionally, and/or in excess of 50 lbs of force frequently, and/or in excess of 20 lbs of force constantly to move objects.

#### Physical Demands (Movement)

- CLIMBING – Ascending or descending using feet and legs and/or hands and arms. Body agility is emphasised
- BALANCING – Maintaining body equilibrium to prevent falling on narrow, slippery, or erratically moving surfaces; or maintaining body equilibrium when performing feats of agility
- STOOPING – Bending body downward and forward. This factor is important if it occurs to a considerable degree and requires full use of the lower extremities and back muscles
- KNEELING – Bending legs at knees to come to rest on knee or knees
- CROUCHING – Bending body downward and forward by bending legs and spine
- CRAWLING – Moving about on hands and knees or hands and feet

- REACHING – Extending hand(s) and arm(s) in any direction
- HANDLING – Seizing, holding, grasping, turning, or otherwise working with hand or hands. Fingers are involved only to the extent that they are an extension of the hand
- FINGERING – Picking, pinching, or otherwise working primarily with fingers rather than with the whole hand or arm as in handling
- FEELING – Perceiving attributes of objects, such as size, shape, temperature, or texture, by touching with skin, particularly that of fingertips.

#### Physical Demands (Auditory)

- TALKING – Expressing or exchanging ideas by means of the spoken word. Talking is important for those activities in which workers must impart oral information to clients or to the public, and in those activities in which they must convey detailed or important spoken instructions to other workers accurately, loudly, or quickly
- HEARING – Perceiving the nature of sounds. Used for those activities that require ability to receive detailed information through oral communication, and to make fine discriminations in sounds, such as when making fine adjustments on running engines.

#### Physical Demands (Taste/Smell)

- TASTING/SMELLING – Distinguishing, with a degree of accuracy, differences or similarities in intensity or quality of flavours and/or odours, or recognising particular flavours and/or odours, using tongue and/or nose.

#### Physical Demands (Vision)

- NEAR ACUITY – Clarity of vision at 20 inches or less. Use this factor when special and minute accuracy is demanded
- FAR ACUITY – Clarity of vision at 20 feet or more. Use this factor when visual efficiency in terms of far acuity is required in day and night/dark conditions
- DEPTH PERCEPTION – Three-dimensional vision. Ability to judge distances and spatial relationships so as to see objects where and as they actually are
- ACCOMMODATION – Adjustment of lens of eye to bring an object into sharp focus. Use this factor when requiring near point work at varying distances
- COLOUR VISION – Ability to identify and distinguish colours
- FIELD OF VISION – Observing an area that can be seen up and down or to right or left while eyes are fixed on a given point. Use this factor when job performance requires seeing a large area while keeping the eyes fixed.

#### Environmental Conditions and Physical Surroundings

Exposure results in marked bodily discomfort.

- EXPOSURE TO WEATHER – Exposure to hot, cold, wet, humid, or windy conditions caused by the weather
- EXTREME COLD – Exposure to non-weather related cold temperatures
- EXTREME HEAT – Exposure to non-weather related hot temperatures
- WET AND/OR HUMID – Contact with water or other liquids; or exposure to non-weather related humid conditions
- NOISE – Exposure to constant or intermittent sounds or a pitch or level sufficient to cause marked distraction or possible hearing loss

- VIBRATION – Exposure to a shaking object or surface. This factor is rated important when vibration causes a strain on the body or extremities
- ATMOSPHERIC CONDITIONS – Exposure to conditions such as fumes, noxious odours, dusts, mists, gases, and poor ventilation, which affect the respiratory system, eyes, or the skin
- CONFINED/RESTRICTED WORKING ENVIRONMENT – Work is performed in a closed or locked facility providing safety and security for clients, inmates, or fellow workers.

#### Equipment Used

- Office equipment such as computer, typewriter, projector, cassette player/recorder
- Hand tools (e.g. hammer, shovel, screwdriver)
- Power tools (e.g. radial saw, reciprocating saw, drill, pneumatic hammer)
- Vehicles (e.g. automobile, truck, tractor, lift).

#### Hazards

- Proximity to moving, mechanical parts
- Exposure to electrical shock
- Working in high, exposed places
- Exposure to radiant energy
- Working with explosives
- Exposure to toxic or caustic chemicals.

## Job Evaluation

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Job evaluation is the analysis and evaluation of work for the purpose of determining the relative value of jobs within an organisation. Job evaluation may also provide valuable information for organisational analysis and for human resource planning and management strategies such as succession planning, performance management, compensation, etc.

For a job evaluation system to be effective, care must be taken in ensuring the system is as objective as possible. It is important that each job be evaluated on the basis of **current, regular and ongoing work conditions and job content**. It is also essential that the focus of the evaluation process be on the purpose, scope and responsibilities of work assigned to the position, and not an incumbent's personal qualities or performance. In other words the focus is on the position and not the individual(s) in the position.

As jobs are very often affected in some way by organisational change, maintaining the job evaluation system requires that departments periodically review their organisation design and structure to determine if significant changes have occurred. Any change in an organisation's structure may alter the content of a job, which may result in an adjustment in the evaluation of the job. Ideally the position description should be updated every time there is a substantial change to a position's purpose, scope, and/or responsibilities.

Before undertaking job evaluation, top management must explain the aims and uses of the programme to employees and unions (if any). Intranet, town hall meetings, roadshows, letters, could be used to publicise the exercise.

## Joint Committees

Job evaluation involves some level of subjectivity. To reduce subjectivity the MDA will be required to form a JEC. The JEC shall meet jointly to evaluate all positions being evaluated. Membership on this committee will be a representation from a cross-section of job classes to every extent possible. The JEC will evaluate all jobs within the MDA, as well as maintain the integrity of the selected job evaluation system. Job evaluation decisions shall be unanimous and deemed final and binding upon the parties, subject to appeal procedures.

## Job Evaluation Procedures

The following general procedures will be used to evaluate jobs:

- All incumbents will complete the job evaluation questionnaire (either individually or as a group if they choose). The incumbent, manager, group head will sign the questionnaire, and submit to HR
- Where further documentation is required, the JEC will determine how that information will be obtained. This may include having members of the JEC interview the incumbent and manager. Any additional information will be gathered in such a manner as to minimise any disruption to the workplace
- The JEC will evaluate the position using information from the completed questionnaire and any additional interviews (if necessary). The JEC will evaluate positions based on comparisons with other evaluated positions.

## Job Evaluation Methods

There are a number of different methods of job evaluation, which are:

- Ranking method
- **Classification method**
- Factor comparison method
- Point method.

The classification method is recommended. Under this method, jobs are classified into an existing grade/category structure or hierarchy. Each level in the grade/category structure has a description and associated job titles. Each job is assigned to the grade/category providing the closest match to the job. The classification of a position is decided by comparing the whole job with the appropriate job grading standard. To ensure equity in job grading and wage rates, a common set of job grading standards and instructions are used. Because of differences in duties, skills and knowledge, and other aspects of trades and labour jobs, job grading standards are developed mainly along occupational lines.

The standards do not attempt to describe every work assignment of each position in the occupation covered. The standards identify and describe those key characteristics of occupations that are significant for distinguishing different levels of work. They define these key characteristics in such a way as to provide a basis for assigning the appropriate grade level to all positions in the occupation to which the standards apply.



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### Advantages

- Simple
- The grade/category structure exists independent of the jobs. Therefore, new jobs can be classified more easily than the ranking method.

### Disadvantages

- Classification judgements are subjective
- The standard used for comparison (the grade/category structure) may have built in biases that would affect certain groups of employees (females or minorities)
- Some jobs may appear to fit within more than one grade/category.

It is important to:

- Use well-defined grades/categories and/or attempt to define the grades/categories so that they do not overlap one another. Overlaps in the descriptions and factors used to identify the grade would lead to problems when assigning jobs to the grades where there is overlap between them
- Examine the grades/categories to ensure there is no inherent gender or social exclusion biases.

# Annex 1: Job Analysis Questionnaire

## PURPOSE AND INSTRUCTIONS

The purpose of the questionnaire is to obtain current information on your job or current position and not on you as a person.

Because you know your duties and responsibilities better than anyone else, we need *your* help to get an accurate description of your job. We are asking you to complete this questionnaire that asks for information about your job duties. The questionnaire does not ask about your job performance; only what your job requires you to do.

Please complete this questionnaire as honestly, completely and accurately as you can. Base your answers on what is normal to your current job, not special projects or temporary assignment duties, unless these tasks are a regular part of your job.

This questionnaire needs to cover many jobs, so the questions are not specifically about your job. However, you should be able to compare your job duties to the examples given. If two answers seem to fit your situation, just check the one that works best. When answering the questions, imagine you are describing what you do to a neighbour, friend or to someone just hired for your position.

Your supervisor and manager will also be asked about your job, but they will not be allowed to change *your* answers. We appreciate your active participation in this important study. If you have questions, please feel free to ask.

**Please return this questionnaire to your supervisor.**

### A. EMPLOYEE DATA (PLEASE PRINT):

Your Name: \_\_\_\_\_ Unit: \_\_\_\_\_

Employee ID: \_\_\_\_\_ Department: \_\_\_\_\_

Your Job Title: \_\_\_\_\_

How long have you been in your current position: \_\_\_\_\_ years \_\_\_\_\_ months

Work Telephone Number: \_\_\_\_\_

Supervisor's Name: \_\_\_\_\_ Supervisor's Title: \_\_\_\_\_

## B. GENERAL PURPOSE OF POSITION

Indicate in one or two sentences the general purpose of the position (or why this job exists). This statement should be a general summary of the responsibilities listed in the next section.

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## C. SUMMARY OF TASKS AND RESPONSIBILITIES

Describe specific job responsibilities/duties, **listing the most important first**. Use a separate statement for each responsibility. Most positions can be described in **six to eight major responsibility areas**. Combine minor or occasional duties in one last statement. Give a best estimate of average percentage of time each responsibility takes; however, do not include a duty that occupies 5% or less of your time unless it is an essential part of the job. Each statement should be brief and concise, beginning with an action verb. **A list of action verbs is attached for reference but feel free to use other action verbs if they are more appropriate.** The box below shows an example.

--EXAMPLE--		Percentage (%) of Time
<b>Secretary</b>		
1.	Performs a variety of typing duties including standard letters, reports and forms.	25%
2.	Takes and transcribes dictation. Composes letters and memos as directed.	25%
3.	Maintains departmental files; ensures that all records are updated and modified as necessary.	20%
4.	Answers the telephone and greets visitors.	20%
5.	Makes travel arrangements.	10%
		<b>100%</b>



**D. GENERAL EDUCATION & EXPERIENCE**

**EDUCATION:** Check the box that best indicates the minimum training/education requirements of this job. (Not necessarily your education, but the requirements for the job.)

- |   |   |
|---|---|
| <input type="checkbox"/> Primary Education                  | <input type="checkbox"/> Higher National Diploma/Equivalent |
| <input type="checkbox"/> Secondary Education                | <input type="checkbox"/> Bachelor's Degree                  |
| <input type="checkbox"/> Ordinary National Diploma          | <input type="checkbox"/> Master's Degree                    |
| <input type="checkbox"/> Certificates, Vocational/Technical | <input type="checkbox"/> Doctorate Degree                   |

**EXPERIENCE:** Please indicate the specific job experience needed. For example, 'accounting experience in a finance management environment' and not just 'accounting experience' or 'public finance planning experience' and not just 'planning experience'. Be sure that the experience stated is what is actually required by the job, not what is preferred.

- i. \_\_\_\_\_
- ii. \_\_\_\_\_
- iii. \_\_\_\_\_
- iv. \_\_\_\_\_
- v. \_\_\_\_\_
- vi. \_\_\_\_\_
- vii. \_\_\_\_\_
- viii. \_\_\_\_\_

Check the box that best indicates the **minimum** amount of experience described above. (Not necessarily your years of experience, but the requirements for the job.)

- |  |  |
|--|--|
| <input type="checkbox"/> Less than 6 months            | <input type="checkbox"/> 3 but less than 5 years |
| <input type="checkbox"/> 6 months but less than 1 year | <input type="checkbox"/> 5 but less than 7 years |
| <input type="checkbox"/> 1 year but less than 3 years  | <input type="checkbox"/> 7 years plus            |

**E. SUPERVISORY RESPONSIBILITIES**

**SUPERVISORY NATURE:** What is the nature of the direct supervisory responsibility your job has? Check one answer.

- No supervisory responsibility
- Work leadership of one or more employees
- Supervisor over a section of a department
- Assistant Manager over supervisors or a small department

- Manager** of one department
- Manager** of more than one department
- Director**, through managers, of a single department
- Director**, through managers, of multiple departments

**HOW MANY POSITIONS REPORT DIRECTLY TO YOU?**

- None     1     2-3     4-6     7 or more

Indicate the total number of employees you indirectly supervise through supervisors or managers:

- None     1-5     6-10     11-20     21-50     51-100  
 100 +

**F. PHYSICAL DEMANDS AND WORKING CONDITIONS**

Indicate how often the following physical demands are required to perform the essential job responsibilities.

**C=Constantly** (5-8 hrs/shift)    **F=Frequently** (2-5 hrs/shift)    **O=Occasionally** (Up to 2 hrs/shift)    **R=Rarely** (Not a regular part of job)

**Physical Demands**

Standing \_\_\_\_\_  
 Walking \_\_\_\_\_  
 Sitting \_\_\_\_\_  
 Lifting \_\_\_\_\_  
 Carrying \_\_\_\_\_  
 Pushing \_\_\_\_\_  
 Pulling \_\_\_\_\_  
 Handling \_\_\_\_\_  
 Grasping \_\_\_\_\_  
 Feeling \_\_\_\_\_  
 Talking \_\_\_\_\_  
 Hearing \_\_\_\_\_

**Environmental Conditions**

Extreme cold \_\_\_\_\_  
 Extreme heat \_\_\_\_\_  
 Temperature changes \_\_\_\_\_  
 Wet \_\_\_\_\_  
 Noise \_\_\_\_\_  
 Hazards \_\_\_\_\_  
 Other (define): \_\_\_\_\_

**Physical Strength**

Little physical effort \_\_\_\_\_  
 Light work \_\_\_\_\_  
 Medium work \_\_\_\_\_  
 Heavy work \_\_\_\_\_  
 Very heavy work \_\_\_\_\_

## G. CONTACT AND COMMUNICATIONS

Please give examples of the contacts that are typically required in order to carry out the responsibilities of the role. Exclude contacts within the immediate work area but include all types of communication with others as follows:

	Level	Purpose
Within the organisation:		
With other government organisations:		
With external organisations		

## H. OTHER ASPECTS

### Problem Solving

Please give examples of the range of problems dealt with and their frequency. What range of options is open for their solution?

**Decision Making**

What decisions are the sole responsibilities of the role (i.e. that do not need approval by others)?

What advice/recommendations are given to others to help with their decisions?

**Autonomy**

What guidance is available to the role from senior officers, rules and regulations, precedents and set instructions?

**Management of Resources**

Is the role responsible for the control of budgets, equipment or other resources? If so, what are they, and what is required in managing them?



In what aspects of the role is team leading and leadership required? How much time is required for team working/leadership issues?

**I. GENERAL EMPLOYEE COMMENTS**

Because no single questionnaire can cover every part of a job, can you think of any other information that would be important in understanding your job? If so, please give us your comments below.

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Employee's Signature: -----

Date: -----

## Annex 2: Job Description Template

<b>Job Title:</b>		<b>Department:</b>	
<b>Name Of Holder:</b>			
<b>Responsible To:</b>		<b>Staff Managed:</b>	a. b. c. d.
<b>Key Relationships:</b>			
<b>Job Purpose:</b>			
<b>Specific Duties and Responsibilities:</b>			

<b>Key Result Areas/Key Performance Indicators (KPIs):</b>	
<b>Qualifications/Work Experience/Competencies</b>	
<b>Minimum Academic Qualifications Desired:</b>	
<b>Minimum Work Experience and Knowledge Required:</b>	
<b>Essential Attributes or Competencies Required:</b>	
<b>Desirable Attributes or Competencies:</b>	

# SPARC HRM 2013

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## HR Practitioner Tools

**3F:**

### **Recruitment Plan Part 1: Instructions**

*(Electronic copy of database is document 3G)*

**sparc**

## Recruitment Plan Instructions

This recruitment plan is an easy way of keeping track of the status of all new recruitments and of tracking actual spend against projected spend. It is also a good way of helping to keep recruitment activities on track and monitor progress. It should be owned and regularly updated by the human resources (HR) officer. To assist with these activities, a simple database has been created in Microsoft Excel (*see CD for an electronic copy of this tool*), which can be used to compile the necessary information.

### What the Spreadsheet Can Do:

The spreadsheet allows the entry of information about each stage of a recruitment process to provide an at-a-glance summary of the status of the process and a record when each stage is completed. In some cases data is entered by typing in the cell. In a few cells a 'drop-down' menu will appear, which gives a number of options to choose from.

It is a good idea to create a 'test' version of the spreadsheet, and enter a few fictitious records to experiment with how to use the spreadsheet and see what it can do.

### How to Use the Spreadsheet:

**Column A – Position Title:** Enter here the name of the position being recruited e.g., 'Senior Accounting Officer'. If the ministry, department or agency (MDA) is seeking approval to recruit two candidates to the *same* position, a separate row should be entered for each anticipated recruitment as each will have its own cost implications.

**Column B – MDA Name:** Enter here the name of the recruiting MDA that is seeking the new appointment.

**Column C – Department Name:** Enter here the name of the department in the recruiting MDA that is seeking the new appointment.

**Column D – Unit/Team Name:** Enter here the name of the unit/team in the recruiting MDA that is seeking the new appointment.

**Column E – Recruitment Type:** Enter here whether the recruitment is for a 'New Post' or a 'Replacement Recruitment'.

**Column F – If replacement recruitment, name of officer being replaced:** Enter here the name of the current or last officer in the position being replaced.

**Column G – Contract Type:** Enter here the type of contract expected for the position e.g., 'Permanent', 'Part-Time', 'Fixed-Term', 'Temporary', 'Short-Term'.

**Column H – Cadre:** Enter here the expected cadre of the position.

**Column I – Grade Level:** Enter here the expected grade level of the position.

**Column J – Projected FTE:** Enter here the projected full time equivalent (FTE) of the position, which is a way of measuring how many full-time employees would be required to perform the work done in the MDA. For example, MDAs may have a mix of part-time and full-time officers, and part-time officers can vary widely in the number of hours worked. Calculating the FTE will allow the MDA to compare the workers needed for various departments. Full-time employment is considered to be 40 hours per week (8am to 4pm, Monday to Friday).

**How to calculate FTE:**

**Step 1 –** Calculate the number of hours worked per period for your full-time workers by multiplying the number of full-time employees in the MDA, by 40 hours, by the number of weeks per period. For example, if you are calculating FTE per year and you had five full-time officers in the MDA, you would multiply 5 by 40 by 52 to get 10,400 hours.

**Step 2 –** Calculate the number of hours worked by part-time employees by multiplying the number of hours worked per week by the number of weeks worked. Continuing the example, if you had one part-time employee who worked 20 hours per week for 30 weeks of the year and two others who worked 10 hours per week for 52 weeks of the year, you would multiply 1 by 20 by 30 to get 600 and 2 by 10 by 52 to get 1,040. Then you would add 600 and 1,040 to get a total of 1,640 hours for your part-time workers.

**Step 3 –** Add the number of hours for your full-time and part-time employees. In this example, you would add 10,400 to 1,640 to get a total of 12,040 hours worked.

**Step 4 –** Divide the total number of hours worked by the number of hours a full-time worker would work for that time period. Finishing this example, you would use 2,080 for the number of hours worked by a full-time worker per year (i.e. 40 hours per week x 52 weeks + 2,080 hours) and divide 12,040 by 2,080 to calculate about 5.79 FTEs.

**Column J – Recruiting Manager Name:** Enter here the name of the recruiting manager in the MDA responsible for the post.

**Column K – HR Officer Name:** Enter here the name of the HR officer in the MDA responsible for the post.

**Column M – Job Description Approved:** Once the job description has been approved, select 'Yes' from the drop-down menu.

**Column N – Position Approved:** Once the recruitment plan and position have been approved for the budget year, select 'Yes' from the drop-down menu.

**Column O – Candidate Sourcing Strategy Agreed:** The candidate sourcing strategy is an agreement reached on how the most suitable candidate for the position is likely to be targeted e.g., through advertising in the local paper, through advertising in a relevant professional journal, through the contracting of a specialist recruitment agency, through a

one-off alumni or assessment event. Once the strategy has been agreed, select 'Yes' from the drop-down menu.

**Column P – Applications Opened:** Once the vacancy is advertised or the recruitment process has officially been launched, select 'Yes' from the drop-down menu.

**Column Q – Applications Closed:** Once the vacancy is no longer open and a suitable number of qualified candidates have been identified for further assessment, then applications are said to be closed. At this point, select 'Yes' from the drop-down menu.

**Column R – Date of Pre-Selection Tests:** Pre-selection tests are those that are generic and standardised in the service e.g., an entry exam or psychometric test. These tests will normally be facilitated by the service-wide MDAs. Once a date has been set for these tests, this should be entered into Column R in the following format: dd/mm/yyyy.

**Column S – Date of Specialised Selection Tests:** These are selection tests that might be specific to the MDA. E.g., if recruiting a doctor the Ministry of Health may have its own practical assessments it needs to carry out. Also when hiring secretaries the number of words they can type in a minute on a computer may need to be assessed. Another example would be the use of a tailored Situational Judgement Test (SJT) for professional positions. Once a date has been set for these tests, this should be entered into Column S in the following format: dd/mm/yyyy.

**Column T – Interview Questions and Panel Agreed:** A set of structured interview questions should be produced by the relevant HR officer and agreed in advance, based on the individual requirements outlined in the job description. Once an interview panel and their specific lines of questioning have been agreed, select 'Yes' from the drop-down menu.

**Column U – Date of Interviews:** Once a date has been set for the interviews, this should be entered into Column U in the following format: dd/mm/yyyy

**Column V – Date of Selection Scores Review Panel:** Once all candidates have been formally assessed, a date should be set for a formal review panel to discuss the scores and interview feedback submitted on each candidate. Once a date for this meeting has been set, this should be entered into Column V in the following format: dd/mm/yyyy.

**Column W – Appointment Requisition Prepared:** The Selection Scores Review Panel will have decided which of the available pool of successful candidates they will want to recruit. Such a proposal will however need to be approved and a separate Appointment Requisition template has been designed for this purpose. Once the Appointment Requisition has been prepared by the relevant HR officer, select 'Yes' from the drop-down menu.

**Column X – Appointment Requisition Approved:** Once the Appointment Requisition has been approved by all parties, select 'Yes' from the drop-down menu.

**Column Y – Offer Made:** Once a formal offer has been made to the approved candidate, select 'Yes' from the drop-down menu.

**Column Z – Offer Accepted:** Once the appointment has been formally accepted by the candidate, select 'Yes' from the drop-down menu.

**Column AA – Start Date:** The confirmed start date of the newly appointed officer should be entered here in the following format: dd/mm/yyyy.

**Column AB – Induction Date:** The provisional induction date for the newly appointed officer should be entered here in the following format: dd/mm/yyyy.

**Column AC – Contract Type:** It is very important that the projected assumptions made at the start of the recruitment process are cross-checked and validated at the end of the recruitment process and formally recorded as things may have altered slightly depending on the suitability and availability of the preferred candidate. Once the contract type has been formally confirmed, enter this in Column AC e.g., 'Permanent', 'Part-Time', 'Fixed-Term', 'Temporary', 'Short-Term'.

**Column AD – Cadre:** Enter here the actual cadre of the position.

**Column AE – Grade Level:** Enter here the actual grade level of the position.

**Column AF – Actual FTE:** Enter here the actual FTE of the position (see earlier instructions on how to do this, above).



# SPARC HRM 2013

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## HR Practitioner Tools

**3H:**

**Structured Interview Guidance  
and  
Sample Questions**

**sparc**

## Using the Structured Interview Questions

Structured interview questions can be used to identify the most qualified candidate for recruitment or promotion to a particular post. Guiding principles of structured interview questions are:

- The objective of the interview is to enable the candidates to prove and demonstrate their capabilities, through their answers
- The best predictor of future behaviour is past behaviour
- Candidates should be asked to describe situations they have faced and how they handled them
- Questions should be kept open-ended, to avoid yes/no answers
- Use follow-up questions to dig deeper – do not take information at face value
- What was the situation? What did they do specifically? What was the outcome?
- Statements of attitude and philosophies are poor predictors of people's actual behaviour – get them to give specific examples.

The structured interview questions contained here are *examples only*. They are presented in groups designed to assess *some* of the *generic* competencies that we typically expect mid- to senior-level professional or managerial candidates to exhibit. They will not be relevant to all types of positions, and they should constitute only a part of the interview. The interview should also examine the specific '*technical*' match between the candidate and the position.

The example includes a mix of questions: some are designed to obtain information about the candidate's *actual* past behaviour in a range of situations; others are designed to test the candidate's *likely* behaviour in a hypothetical situation. Preference should be given to the factual rather than hypothetical questions wherever possible.

The *optimum number should be between six and ten questions for a one-hour interview* to allow the candidate to answer fully, and to permit follow-up questions where necessary.

It is, therefore, essential to prepare for the interview by carefully drafting the questions in advance, using the process described below:

**Step 1** – Review the job description of the position being applied for. The questions should be specific to the competency and seniority requirements outlined in the job description.

**Step 2** – Agree which questions are most appropriate in the given circumstances and develop new ones as needed.

**Step 3** – Determine who should sit on the interview panel and who will ask which questions.

**Step 4** – Ask all shortlisted candidates the same questions and score their answers.

**Step 5** – Compare the answers of all the candidates to determine the best candidate.

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# Example Structured Interview Questions

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## Competency: EMPOWERMENT

- Describe a situation when you helped someone recognise that he/she had several choices in how to handle a difficult problem. What was the situation, what did you do, and what happened as a result?
- A junior officer has recently told you he/she thinks there might be a way of improving a current process in the department. What steps would you take to encourage him/her to share his/her ideas and show initiative?
- Describe a situation where you have encouraged someone to promote themselves to others?
- You and a junior officer attend a meeting in another ministry. When the meeting starts, the junior officer is ignored. As the senior officer what would you do?
- Describe a situation in which you helped a person set a goal and then supported the person to achieve that goal. What was the goal and how did you help?
- One of your colleagues is quiet and avoids talking to people as much as he/she can. He/she is not involved in any activities and has no personal relationships in the office. He/she seems unhappy. How might you assist his/her self-development?

## Competency: COMMUNICATION

- Describe a situation in which your attempts to communicate with someone were ineffective. What was the situation, what did you do, and what happened as a result?
- Describe ways in which you have communicated with a person who is not good at face-to-face communication?
- Your new co-worker is Muslim. During the month of Ramadan he/she is fasting during the day, and has asked you to swap duties with him/her so he/she will not have to attend meetings on Friday lunchtime/afternoon. You already have a number of other meetings to attend on Fridays. How do you respond?
- Your co-worker has a habit of interrupting you at staff meetings. In the past you have waited for him/her to finish and bring up your point again, only to have him/her interrupt once more. As a result, you often leave staff meetings feeling frustrated because your issues were not addressed. How do you deal with this?
- Describe the worst misunderstanding you were involved in at your last job. What was the situation, what did you do, and what happened as a result?
- Think about the last time you started a new job or joined a new social group. What strategies did you use to engage with others and integrate yourself into this new team or group?
- When working with people from different backgrounds, religions and ethnicity, what do you think is critical for establishing a solid working relationship?

### **Competency: ASSESSMENT**

- Describe a situation in the past where you have participated in a team assessment process. What was your role?
- Tell me about the last time you solved a problem where you had to do a lot of hard thinking and analysis. What difficulties did you encounter, how did you overcome them, and what was the result?
- You have noticed that one of your senior managers speaks to one of his/her junior officers in a harsh manner and you suspect the two are not getting on. How might you share your assessment of the situation with the two officers?
- Tell us about a time when someone was injured and you had to make an immediate judgement on what needed to be done to help the person. Describe the injury and your steps in making the assessment
- Please describe an occasion when you have had to share resources amongst a group of people. How did you decide how the resources should be allocated?
- Describe an embarrassing situation you have experienced. What was the situation, what did you do, and what happened as a result? What, if anything, would you do differently if you experienced a similar circumstance in the future?

### **Competency: PROFESSIONALISM**

- Tell me about a time when you had to practise professional confidentiality. What was the situation, what did you do, and what happened as a result?
- Describe a situation in which you or someone you know came to you for advice or help in dealing with a sensitive or confidential situation. What was the situation, what did you do, and what happened as a result?
- Describe the types of work you enjoy doing and the types of work you do not like doing. What strategies do you use to ensure that all duties are completed?
- What actions would you take if you saw that a colleague needed immediate assistance or was unsure what to do?
- Your new manager says he/she wants to stamp his/her mark on the ministry and look at new ways of working. How might you respond to this situation?
- Describe a time when you were required to make an unpopular decision. What was the situation, what did you do, and what happened as a result?

### **Competency: EDUCATION, TRAINING, AND SELF-DEVELOPMENT**

- How have you kept up on relevant resources and information about a topic of interest to you?
- What else besides your education and job experience qualifies you for this job?
- Describe the last thing you did for self-improvement?
- Tell me about the best class, conference, training course you have ever taken. What was the class? Why was it good?
- What is the next thing you want to learn how to do, or how to do better? What is your plan for accomplishing this?
- Describe a time when you have supported another person with his/her career development?
- Describe the things you have done in the last couple of years to advance your career. What support did you receive? What was the most helpful assistance you got?

### **Competency: CONFLICT RESOLUTION**

- Describe the most difficult person you remember ever dealing with at work or school. How did he/she react to you? How did you deal with the situation? Did you ever discuss your differences with this person? If not, why not? If yes, what happened?
- Describe the last time you became involved in a conflict. What was the situation, what did you do, and how well did it work? What would you have done to prevent the situation from occurring?
- One of your senior colleagues is unhappy about a report that has recently been submitted. As the officer responsible for the unit your senior colleague calls you to express his/her displeasure. How would you handle this situation?
- Describe a situation in which you had a conflict with a co-worker. What was the issue, what did you do, and what happened as a result??
- Describe a situation in which you had a conflict with your supervisor. What was the issue, what did you do, and what happened as a result??

### **Competency: ORGANISATIONAL PARTICIPATION AND TEAMWORK**

- Tell me about the mission of the last organisation you worked for, or university you attended. Did you agree or disagree with that mission, why?
- Describe a situation where you played a role in making a change within your last place of employment (or church, community centre or club). What was the situation, what did you do, and what happened as a result?
- What was the best experience you have ever had as a member of a team? What was your role on the team? What made it a good experience?
- Tell me about the last time you found yourself trying to do too many different things at the same time. How did you handle the situation?
- Describe the co-worker that you most appreciate? What characteristics or qualities of that person do you most appreciate?
- What behaviours do you think are most important/most valued by team members or co-workers in the workplace? Of the behaviour you just listed, please do a self-evaluation and tell me which is your strongest positive co-worker behaviour? Which might be a possible improvement area for you?
- What does teamwork mean to you? Give some examples of things you have done to be a good team member, or to improve teamwork.

## Competency: DOCUMENTATION

- Tell me some of the reasons you feel documentation is important
- Describe a situation in which you were asked to document an event. Describe what occurred, what information was documented, and the reasons behind your documentation
- What was the best thing you ever wrote? What was the topic? What made this the best thing you ever wrote?
- Describe the most difficult writing assignment you have ever had. What was the assignment? How did you handle it?
- Describe the last paper or writing assignment you completed at work (or in school). What was the assignment, what did you do, and what was the outcome of the assignment?

## Experience, Credentials and Self-Evaluation/Opinion Questions

- Describe a typical day in your most recent job
- Describe any classes, experiences or training you have received that prepared you for this job
- Most of us have more than one reason for leaving a job. What are some of yours, from past or present experience?
- What one or two words would most of your previous supervisors use to describe you?
- What part(s) of your last/present position did you like least? What did you do to try to overcome the situation? What would you think if you knew in advance that this situation would be present in your new job?
- Under what circumstances might you seek out a co-worker or peer for advice or suggestions? Provide examples of times you did that in the past
- Describe your ideal job. Discuss the amount and type of supervision you prefer, contact and kinds of relationships with co-workers, job tasks, and freedom to work or to make decisions
- If you had the authority or power, what one thing would you change about your current/last position?
- Other than money, what rewards, benefits or work situations are most important for you?
- How much time did you miss from work last year? The year before?
- What suggestions has your supervisor given you for performance improvement or development?
- We have all made mistakes in our job, some bigger than others. Tell me about the biggest workplace mistake you ever made. What were the circumstances, and how did you deal with it? What did you learn from the experience?
- If you were offered this position and you accepted, what one or two major contributions do you think you would make, in the short term (in the first few weeks) and in the long term (after a year or so)?

# SPARC HRM 2013

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## HR Practitioner Tools

**3I:**

**Candidate Selection  
Summary Score Sheet**

**sparc**

## Candidate Selection Summary Score Sheet

Before a decision can be made as to the most qualified candidate for the vacancy available a formal panel must first review the pre-selection/ministry, department or agency (MDA) specific selection test scores, interview scores and feedback, application forms and CV of each candidate. This decision must then be documented including the reasons for the final appointment recommendation and submitted to the Commission or delegated authority so they can make a formal offer of employment and begin the on-boarding process.

In order to do this and to maintain transparency it is important that a selection summary score sheet is completed for ALL candidates for comparison against the approved job description by the review panel.

**Step 1** – Human resources (HR) officer to complete the candidate selection summary score sheet for all candidates.

**Step 2** – All potential candidates should be discussed at a formal meeting of the selection and appointment panel consisting of all relevant stakeholders to determine which candidate should be appointed.

**Step 3** – Once a candidate has been agreed the Appointment Requisition Form (see separate template) should then be completed and approved prior to an offer of appointment being made to the successful candidate.



**HUMAN RESOURCES SELECTION SCORES SUMMARY SHEET**

Candidate Details			
<b>Candidate Name:</b>		<b>Position Applied For:</b>	
<b>Position Grade Level:</b>		<b>Position Cadre:</b>	

CV

**Selection Scores**

Pre-Selection Test Scores (e.g. verbal or numerical reasoning tests and other general civil service entry exam scores):

Specialist Test Scores (additional exams/tests specific to the vacancy advertised e.g. accountancy exams, situational judgement tests, in-tray exercises, etc.):

Interview Feedback (from all named interviewers):

# SPARC HRM 2013

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## HR Practitioner Tools

**3J:**

**Recruitment Summary  
and  
Appointment Requisition**

**sparc**

## **Recruitment Summary and Appointment Requisition**

Before any appointment can be approved, an appointment requisition should be prepared and reviewed by all relevant stakeholders to confirm that the proposed candidate has the right skills and experience to fill the vacancy available and to demonstrate evidence of due process. The Appointment Requisition Form provides a summary of the recruitment process which has been carried out, the post, and the credentials and performance of the preferred candidate. It also serves as the record that formal approval has been given to contract the candidate.

The Appointment Requisition Form should be completed by the relevant human resources (HR) officer of the recruiting (ministry, department or agency) MDA once all candidates have been through the selection process and the most qualified candidate has been agreed.

The Requisition Form must then be reviewed and approved by all relevant parties prior to an offer of appointment being made.

**Step 1** – HR officer to complete the Appointment Requisition Form AFTER the Commission or delegated authority and recruiting MDA have met to review the pre-selection/MDA specific selection test scores, interview scores and feedback, application forms and CV of each candidate to determine the most suitable candidate for appointment.

**Step 2** – The appointment requisition should be circulated for review to all relevant stakeholders for signature and approval.

**Step 3** – Once the requisition form has been approved a formal offer of appointment can be made to the candidate.

**Step 4** – The HR officer in the recruiting MDA should complete the final section at the end of the Appointment Requisition Form when the candidate is appointed and share the relevant information with the manager to whom the post will report.

**HUMAN RESOURCES REQUISITION FORM FOR STAFF APPOINTMENTS**

<b>Job Details</b>			
<b>Date of Request:</b>		<b>Candidate Name:</b>	
<b>MDA:</b>		<b>Department:</b>	
<b>Unit/Team:</b>		<b>Recruiting Manager Name:</b>	
<b>Job Title:</b>		<b>Grade Level:</b>	
<b>Cadre:</b>		<b>Recruitment Source:</b> (e.g. name of employee referral, response to advert, targeted event)	
<b>New Post or Replacement Appointment :</b>		<b>Within Approved Budget: (yes/no)</b>	
<b>Contract (e.g. full time, part time, fixed term or temporary):</b>		<b>Full Time Equivalent (FTE) Salary:</b>	
<b>Will this person supervise others? (yes/no)</b>		<b>Provisional Start Date:</b>	

**Job Description**

**Required Competencies:**

**Expected Duties:**

**Required Education/Experience:**

**Required Skills:**

Candidate CV

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Candidate Selection Scores

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Candidate Interview Feedback

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Appointment Approvals			
<b>Recruiting Manager Name:</b>		<b>Recruiting Manager Signature and Date:</b>	
<b>Department Head Name:</b>		<b>Department Head Signature and Date:</b>	
<b>HR Director Name:</b>		<b>HR Director Signature and Date:</b>	
<b>Service-wide MDA Approval Name:</b>		<b>Service-wide MDA Signature and Date:</b>	

<i>Completed by Human Resources as Details Available</i>			
<b>Date Appointment Approved:</b>		<b>Date Offer Accepted:</b>	
<b>Name of HR Officer Who Completed Appointment Requisition Form:</b>		<b>Confirmed Candidate Start Date:</b>	
<b>Induction Date:</b>		<b>Confirmation Due Date:</b>	

# SPARC HRM 2013

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## HR Practitioner Tools

**3K:**

**Induction Checklist**

**sparc**

## Induction Checklist

When a new officer joins an organisation for the first time (or indeed when an existing officer joins a new ministry, department or agency [MDA]), he/she is usually a complete stranger to the people, workplace, culture and work environment.

The new officer is likely to feel insecure, shy and nervous due to the absence of information and support in the early days of their work. This will have a knock-on impact on the work and services he/she is able to deliver. The purpose of induction is, therefore, to welcome the new officer, make him/her feel at home, and develop a sense of pride in the MDA and commitment to the job.

While induction into the civil service as a whole is an incredibly important part of an officer's induction, there are also a number of additional activities that might usefully take place within the MDA and department to which the officer is deployed. It is the MDA-specific induction checklist which is outlined in this document.

The induction checklist is broken down into five separate stages for quick reference by the human resources (HR) officer, line manager and new officer.

### **STAGE 1 – To be carried out by HR officer before start date**

1. Implement any reasonable adjustments for a disabled member of staff, indicated during the recruitment and selection process
2. Prepare an induction programme ready for the officer's first day
3. Provide the new officer with a copy of his/her induction schedule
4. Allocate time to carry out the first day requirements with the new member of staff or delegate to a named person
5. Ensure you are available to receive the new officer
6. Advise the Head of the Unit/Team of the new officer's start date
7. Source copies of relevant policies and procedures
8. Ensure the new officer's work station is ready and that the relevant office equipment is provided
9. Provide the officer with information about the MDA.

### **STAGE 2 – Action required of manager/team member on the first day**

1. Welcome the new officer
2. Introduction to managers
3. Introduction to colleagues
4. Tour of workplace
5. Location of toilets
6. Provide the officer with copies of relevant policies and procedures
7. Make sure the officer has a copy of his/her job description if he/she has not already been provided with this
8. Office management and logistics
9. Staff canteen
10. Security (personal belongings)
11. Provide a copy of the Staff Code of Conduct
12. Address other issues raised.

### **STAGE 3 – Action required in the first week by the line manager**

1. **Introduction to the job**
  - a. Discussion of the job description and what's expected
  - b. Establish supervision framework and required communication channels
  - c. Introduction to the appraisal process and preliminary discussion about SMART performance objectives for the first six months
  - d. Address any preliminary queries.

2. Explain organisation, department and section structures and relationships, and provide a copy of the MDA's organogram
3. Run through office procedures
  - a. Internal and external post system
  - b. Computer systems
  - c. Telephone answering standards
  - d. Photocopying
  - e. Procedures for overtime/allowances claims
  - f. Stationery ordering.
4. Personnel issues
  - a. Conditions of employment
  - b. Code of conduct
  - c. Pension scheme
  - d. Grievance procedure
  - e. Disciplinary procedure
  - f. Union membership
  - g. Leave
  - h. Probation and confirmation procedure.
5. Communication
  - a. Staff meetings
  - b. Intranet
  - c. Document/letter/memo format and presentation.

**STAGE 4 – During the first four weeks, initiated by the new officer**

1. Know your way around all relevant MDAs and offices
2. Be proactive in asking your manager to clarify what is required of you in your new role as required
3. Work with your line manager to draft and agree your performance objectives for your first few months – these should be formally recorded in an appraisal form
4. Read all policies and procedures – ask your HR officer or line manager to clarify any policies or procedures which you find unclear
5. Make sure you have a clear understanding of the MDA's mission, vision and strategy.

**STAGE 5 – During the first three months**

When all relevant activities of the induction checklist have been completed, please ensure the below is signed and returned to your HR officer.

All induction activities have been completed:

Signature of officer \_\_\_\_\_ Date \_\_\_\_\_

Signature of line manger \_\_\_\_\_ Date \_\_\_\_\_

# SPARC HRM 2013

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## HR Practitioner Tools

**3L:**

**Deployment Template**

**sparc**

## Deployment Template

The workforce planning process should determine current staff capacity and capability in your ministry, department or agency (MDA) and how this can be strategically developed to meet future performance requirements. As such, workforce planning should drive all of the following management decisions taken at MDA level:

- Career and Development Training
- Recruitment and Resourcing
- Succession Planning and Deployment.

*(Refer to the 'Workforce Planning' document in this Resource Suite for further guidance.)*

Deployment is intended to facilitate the strategic movement of officers within and across the service.

**Step 1** – Complete the **workforce planning** process to identify the skills gaps that need to be filled in the MDA. Structured and strategic deployment to fill specific skills identified as part of the workforce planning process is beneficial not just to the receiving MDAs, but also helps ensure deliberate and invaluable job rotation and career development. Such activities allow officers to develop their skills in a range of environments and to gain exposure and experience in a variety of settings, including, for example, in both service-wide and individual MDAs to aid understanding of the end-to-end processes and decision making.

**Step 2** – The human resources (HR) officer should use the workforce plan, job analysis, Nominal Roll and monthly discussions with department/unit heads to clearly define what staff are NEEDED in their assigned department. For example, if you are the HR officer for the 'HR Department' in your MDA, your department-specific workforce summary might look something like this below:



<b>What staff do we NEED to do the job?</b>				
<b>Establishment</b>	<b>Competencies</b>	<b>Skills</b>	<b>Experience</b>	<b>Total</b>
HR Strategists: • 1 x GL16/17 • 2 x GL14-15	<ul style="list-style-type: none"> <li>• Personal drive</li> <li>• Results driven</li> </ul>	<ul style="list-style-type: none"> <li>• Leadership</li> <li>• Initiative</li> <li>• Management skills</li> </ul>	<ul style="list-style-type: none"> <li>• Change programme</li> <li>• Worked in all HR specialisms/ sizes of MDA</li> </ul>	3
HR Managers: • 4 x GL12/13	<ul style="list-style-type: none"> <li>• Creative thinking</li> <li>• Continuous learning</li> </ul>	<ul style="list-style-type: none"> <li>• Good communicator</li> <li>• Service oriented</li> <li>• Interpersonal skills</li> </ul>	<ul style="list-style-type: none"> <li>• Worked in HR Depts in at least 3 different MDAs</li> </ul>	4
HR Personnel: • 4 x GL10	<ul style="list-style-type: none"> <li>• Continuous learning</li> <li>• Professional behaviour</li> </ul>	<ul style="list-style-type: none"> <li>• Computer literate</li> <li>• Attention to detail</li> <li>• Analytical skills</li> </ul>	<ul style="list-style-type: none"> <li>• Bachelors degree</li> </ul>	4
<b>Total</b>				<b>11</b>

**Step 3** – The HR officer should also accurately identify what staff they currently HAVE working in the department and record any relevant information about these officers. For example:

<b>What staff do we HAVE?</b>			
<b>Officer</b>	<b>Establishment</b>	<b>Info from HR Officer</b>	<b>Total</b>
A	HR Strategist GL17	• Due to retire	1
B	HR Strategist GL17	• No change programme experience	1
C	HR Manager GL12	• Challenges with communication	1
D	HR Manager GL12	• Strong performer	1
E	HR Manager GL12	• No management experience	1
F	HR Personnel GL10	• New to role	1
G	HR Personnel GL10	• No experience in workforce planning and rec.	1
H	HR Personnel GL10	• Poor performer	1
<b>Total</b>			<b>8</b>

**Step 4** – The HR officer should then compare the staff needed (step 2) against the profile of the existing staff (step 3) to determine what actions should then be taken for this Department, i.e.:

- Who might be ready to step into a bigger role?
- Who do you need to develop? How might you do this?
- Who is not performing well? What do you do about this?
- Who do you still need to recruit? What skills/competencies/experience will they need?
- Who do you consider for redeployment?

**Step 5** – The officers considered for redeployment should then be inserted into the Deployment Template table (see below).

## Deployment Template

**MDA Name:**

**Department Name:**

Officer First Name	Officer Surname	Unit/Team	Cadre	Grade Level	Officer's Skills and Strengths	Reason for Proposed Deployment	Deployment Recommendations for New MDA, e.g. particular size/duty/post/work experience

# SPARC HRM 2013

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## HR Practitioner Tools

**3M:**

**Succession Planning  
Guidance and Templates**

**sparc**

## Succession Planning

Succession planning is a process for identifying and developing officers within the ministry, department or agency (MDA) to fill key positions. 'Key positions' might include leadership positions or specialised positions and roles that may be technical, content-specific, or otherwise hard to replace. They may require particular training, licensing or background that is difficult to replicate. Succession plans should therefore NOT be used for all positions in an MDA.

Planning for the day a key role becomes vacant, either through deployment, retirement or for other reasons, is a valuable investment. These key roles make or break the successful delivery of services and operations in an MDA, so a plan to replace an officer in a key role should be drawn up well in advance, *before* an officer has been deployed out of a key role.

*(See also the 'Deployment Template' document for further information and also 'Workforce Planning' document, both included in this Resource Suite.)*

A good succession plan, based on required skills and competencies, can help ensure the correct officers are developed to reach their full potential and be able to step into these key roles. It is not just about simply picking someone of the correct cadre and grade level.

**Step 1** – Review the job descriptions in the MDA and identify the top 10 key roles in the MDA. This might include permanent secretaries, heads of department or heads of unit. However, some heads of department or unit may be easier to replace than others, depending on the specialist nature of these roles and strategic importance, so not all 'senior' positions will necessarily require advance succession planning. There may also be other seemingly less obvious and less senior key roles without which the MDA could not function, so these also need to be identified and added to the list.

**Step 2** – For each of the key roles identified, a separate succession plan needs to be prepared. This is NOT simply about identifying those from the nominal roll who are the same cadre and grade level below. This is about identifying: 1) those with the skills and experience to step into a key role now, 2) those who might have the skills and experience to step into a key role in 6–12 months' time, given the right support and exposure to additional developmental tasks, and 3) those who might have the skills and experience to step into a key role in 1–2 years' time. Consideration must also be given to when each officer is due for deployment, their individual preferences and commitment to the MDA and ensure that a number of different officers are considered, rather than identifying just one potential successor for each post.

**Step 3** – Once key successors have been identified, the human resources (HR) officer and manager need to plan and agree a tailored development plan to help these officers reach their full potential and equip them for the additional responsibilities and skills required of them in the new post.

**Step 4** – The HR officer should work with the manager to implement the agreed and required HR actions once a succession plan has been developed, e.g. does the potential

successor require more stretching performance objectives, do they need to be given more experience in managing others, do they require specific change management experience, etc.

**Step 5** – Circumstances may change so any succession plan needs to be updated at least twice a year to ensure it is always pertinent.

**Step 6** – The succession plan should be used to inform the workforce plan, deployment of individual officers and talent management strategy.



**Part 2: Individual Position Analysis (complete a separate template for EACH key position)**

<b>Key Position Name:</b>		
<b>External MDA Factors Affecting this Position</b>	<b>Internal MDA Factors Affecting this Position</b>	<b>How this Position Will Be Used in the Future</b>
<b>How many of these key positions will be needed going forward (capacity needs)? Explain/justify the need.</b>		
<b>What competencies or skill sets will be required in the future for this position? (Use job description and modify according to future needs, interviews with senior management and other relevant sources.)</b>		



**Detail the risks to the succession and any contingencies. For example: what can go wrong while the succession plan is being implemented? What is the likelihood of this happening? What is the potential impact to the MDA? What is your contingency/alternative plan in the event that this risk happens?**

**Gaps – what competencies or skill sets are not possessed by current staff:**

**Part 3: Individual Succession Plan (complete a separate template for EACH key position)**

Key Position Name:	Name of Potential Successors (e.g. if none of the current officers are suitable then put 'Unknown')	Succession Type (e.g. ready to step into this position now, ready in 6-12 months' time, ready in 1-2 years)	Risks (e.g. level of commitment to MDA, anticipated retirement or deployment)	Skills Development Action Required	Line Manager Responsible	HR Officer Responsible	Progress Review Date

**Example Development Actions:**

- **Objectives:** An officer may be believed to have the potential to perform in the key position but requires more stretching and challenging performance objectives to test this assumption and see how the potential successor deals with the additional pressure/responsibility
- **Management Experience:** Officers being considered for a management position with no management experience should be given the opportunity to supervise, mentor or coach others
- **Technical Skills:** If the officer does not have the required technical experience do they require specialised training, shadowing or a work rotation?
- **Change Management Experience:** No officer should be considered ready for a leadership position without proven understanding of the MDA's strategic goals and direct involvement in a change management or reform programme.

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# SPARC HRM 2013

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## HR Practitioner Tools

**3N:**

**Training  
and  
Development  
Guidance**

**sparc**

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## **Training Needs Assessment, Design, Delivery and Evaluation**

Training is the use of systematic and planned instruction activities to promote learning. However, not all learning requires formal training. Formal training can only be justified when:

- It is based on genuine development needs identified at ministries, departments and agencies (MDA), department or individual level and prioritised based on strategic objectives
- The knowledge and skills cannot be acquired satisfactorily through self-directed learning or other learning initiatives
- New skills are required by a number of people, which have to be developed quickly to meet new demands of the organisation and cannot be gained by relying on experience
- The tasks to be carried out are so specialised or complex that people are unlikely to master them on their own initiative
- An ongoing development need common to a large population has to be met that can readily be dealt with in a training event or programme, for example induction
- Adequate resources exist to conduct the training exercise.

Once it has been agreed that the provision of formal training is justified, a systematic process is needed to design, develop, deliver and evaluate the effectiveness of a tailored training intervention. This tool is designed to provide a useful starting point for the process.

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## Step 1: Training Needs Analysis

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### Needs-Based Learning

A development need exists when there is a gap between what is required of a person to perform their job proficiently, and what they actually know or the skills they are able to demonstrate. Factors other than lack of training may be the cause of poor performance, e.g. weak performance management, too few staff, badly managed workload, inadequate infrastructure and equipment – hence the need for a thorough needs assessment.

Where training is believed to be the most appropriate learning solution this must be because it is based on a sound understanding of what needs to be done and why. This is only possible if the learning needs of the organisation, and the groups and individuals within it, have been identified and analysed.

### Training Needs Analysis

Performing a Training Needs Analysis (TNA) is the first step in the training process and is critical for any successful programme. The purpose of a TNA is to determine whether training is the best solution, and to identify what training is needed to fill the knowledge or skills gap. This step is often disregarded for reasons such as time constraints or lack of perceived value by management. However, skipping the TNA can mean that time and money may be wasted on training that is unnecessary or ineffective.

Reasons for conducting a TNA are:

- To determine whether training is needed
- To determine the reasons behind the lack of knowledge or skill
- To determine the content and scope of training
- To determine the desired training outcomes
- To provide a basis of measurement
- To gain management support.

The needs analysis/assessment can be carried out at three levels: service-wide/MDA, department/unit or individual.

#### Service-wide or MDA-level Training Needs Analysis

The MDA analysis is aimed at short-listing the focus areas for training within the MDA and the factors that may affect the same. MDA mission, vision, goals, people inventories, processes, performance data and employee surveys are all studied, with training prioritised based on short- and long-term strategic objectives.

#### Department- or Unit-level Training Needs Analysis

This kind of analysis looks at job data and the workforce plan. There is an objective assessment of the tasks, knowledge and skills required to perform each job, outlined in the job description. Unit heads might also usefully be interviewed (see Annex 1 for an example template).

### Individual Training Needs Analysis

As evident from the name itself, individual analysis is concerned with who in the organisation needs the training and in which particular area. Here, development needs are typically extracted from the performance appraisal and through one-on-one meetings and interviews with managers.

## Step 2: Training Design

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Once training has been confirmed as the appropriate learning intervention, the training goals should be defined. The goals should reflect the overall goals and strategy of the service and should then be broken down into specific training and learning objectives. These should be measurable and observable, to facilitate post-training evaluation.

Once the goals and objectives have been agreed, the training content can then be developed. It should be meaningful, provide for transfer of learning and motivate the learner. In addition, the material must be presented in a logical manner and organised into sensible units that are directly relevant to the officer's day-to-day experiences and practical challenges faced in their work. Wherever possible the training situation should closely match the usual work situation of the learner.

Good training design has a number of dimensions:

**Competencies.** The design must clearly define the competencies that are to be developed through training. This requires:

- Understanding of the target audience for training
- Clarity about which competencies are required, and what constitutes poor, good and excellent performance for each
- The sequence in which these competencies are best developed.

**Learning.** Training is intended to help course participants to learn. Facilitating adult learning is not the same as 'teaching'. Adults have different learning styles and good course design should cover different methods to get things across (see below).

**Methods.** Lecturing is not the most effective way to stimulate learning. Research shows that experiencing something is six times as likely to lead to learning as hearing about it. Hence 'action', 'active' and 'experiential' learning are preferred. For most training, a simple three-point method can achieve this:

- Use PowerPoint, posters and flipcharts to 'tell'
- Use videos, worked examples, case studies, etc. to 'show'
- Use exercises and role-plays to safely practise and sample the 'experience'.

For technical competencies, assignments and projects in the workplace are often necessary to ensure that new skills and knowledge can be applied successfully. For behavioural

competencies, performance coaching on the job is increasingly understood as effective learning reinforcement.

**Complimentary learning activities.** It may be appropriate to reinforce course-based learning through complimentary capacity-building activities such as on-the-job training, coaching, mentoring, action learning, structured deployment or performance management, focus groups, knowledge-sharing sessions, workshops, or continuous professional development.

## Step 3: Training Delivery

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This section assumes that training is being delivered to an appropriate audience, based on the needs identified as part of the TNA. The purpose of training is to not for the facilitator to talk about what they know, but rather to stimulate targeted learning in those attending.

People generally remember:

- 10% of what they read
- 20% of what they hear
- 30% of what they see
- 50% of what they hear and see
- 70% of what they say and write
- 90% of what they practise.

Therefore, active learning through role-plays, case studies and other practical tools is an essential part of training delivery, as people learn best by 'doing'. These methods provide as much realistic practice as possible.

Trainers never assume that all of their audience understands what is being discussed. They should continuously ask questions of the audience to confirm whether this is the case, correcting and reinforcing responses as appropriate.

Ideally, the facilitator should possess the following training skills but bear in mind that practice makes perfect and it is much better for an internal facilitator to run a training session within the MDA that is directly relevant to the officer's day-to-day responsibilities, than for an officer to be sent on an external training course that is not directly relevant to their role or needs, no matter how well rehearsed or experienced the instructor.



## Training Skills

<ul style="list-style-type: none"><li>• Subject matter expert</li><li>• Ability to demonstrate concepts practically</li><li>• Ability to link concepts – old and new</li><li>• Self-awareness</li><li>• Learning facilitator rather than 'teacher'.</li></ul>	<ul style="list-style-type: none"><li>• Ability to listen</li><li>• Sense of humour</li><li>• Communication and theatrical skills</li><li>• Flexibility</li><li>• Organisational skills</li><li>• Ability to ask and respond to questions.</li></ul>	<ul style="list-style-type: none"><li>• Personality</li><li>• Patience</li><li>• Confidence</li><li>• Presentation skills</li><li>• Bias towards practical learning.</li></ul>
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## Step 4: Training Evaluation

Once the training has finished there may be a temptation to think that the training process is complete. This is not the case.

Without measuring the reaction, learning, behaviour and results of the training, its value for money and return on investment for the service or MDA cannot be demonstrated or assumed. There are four levels of training effectiveness that can be advantageously established using post-training.

### Levels of Training Effectiveness

**Level 1.** Evaluate trainees' reactions to the programme. Did they like it? Did they think it worthwhile? (Use feedback form.)

**Level 2.** Test the trainees to determine whether they learned the principles, skills and facts they needed to learn (Use daily learning log, questionnaire.)

**Level 3.** Ask whether the trainees' behaviour on the job changed because of the training programme (For example, ask managers to measure behaviour against job objectives set prior to training, or discuss with focus groups, or conduct individual interviews.)

**Level 4.** What final results were achieved in terms of the training objectives previously set? (For example, interview department/unit heads to determine how training has impacted on overall performance of the service or MDA.)

These techniques will establish whether the trainees learned what had been intended, whether they were able to implement what they had learned and whether they improved their job performance or service to the public as a result of the training. Collecting feedback about what trainees did not learn is a valuable way of improving training and leads to better training design next time.

### Feedback to Stakeholders

Finally, it is important that once training has been evaluated and successes and areas for development identified, this is formally presented back to the relevant stakeholders to

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ensure their return on investment and that outcomes are recognised. This is much more likely to lead to future support and approval for needs-based training.

## Annex 1: Training Needs Analysis Interview

Key Details	
<b>Unit name:</b>	<b>Unit manager:</b>
<b>List of all duty posts/jobs in the unit:</b>	
<b>What is the main purpose of the unit?</b>	
<b>Are there detailed job descriptions and person specifications for each duty post? If so, please provide copies. If not, which jobs still need job descriptions?</b>	
<b>Strengths (what is on ground now) Please describe the skills and competencies already in the unit.</b>	

**Weaknesses (what is on ground now)**

Please describe the skills and competencies that are NOT in the unit

**Opportunities (needs)**

What skills, knowledge or behaviours could help your unit more effectively deliver its specific strategic goals and objectives?

**Threats (needs)**

What skills, knowledge or behaviours could help your unit manage and overcome any threats/challenges it is currently facing?

Discuss each officer in the unit and consider the capacity-building interventions below. Write the name of each officer in the column that best describes the most appropriate capacity-building approach(es) for that officer. The same officer can be listed in a MAXIMUM of three separate columns.

Classroom training	On-the-job training	Mentoring/coaching	Knowledge-sharing sessions	Deployment/secondment	Workshops	Professional development	SMART objectives

**Definitions:**

- Classroom training – typically a formal course away from the work environment
- On-the-job training – manager or more experienced peer supports day-to-day learning
- Mentoring – pair less experienced individual with more experienced individual; informal help by one person to another
- Coaching – effective, personalised management and development support for a named individual
- Knowledge-sharing sessions – regular sessions to keep knowledge fresh, identify challenges and discuss common issues, facilitated by an experienced member of staff
- Deployment/secondment – structured job rotation
- Workshop – informal/formal session designed to achieve specific objectives
- Professional development – training/lectures/conferences to keep up to date with latest industry trends, practices and ideas
- SMART objectives – structured, pre-agreed performance targets that are set for an agreed period, with performance later evaluated and development areas identified.

# SPARC HRM 2013

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## HR Practitioner Tools

**30:**

**Performance Management**

sparc

## Performance Management

Fully realised, performance management is a holistic process bringing together many of the elements that make up the successful practice of people management, including, in particular, learning and development. But for this very reason, it is complex and capable of being misunderstood.

It is a process that contributes to the effective management of individuals and teams in order to achieve high levels of organisational performance. As such, it establishes shared understanding about what is to be achieved and an approach to leading and developing people that will ensure that this is achieved. As such, it should be:

- Strategic – it is about broad issues and long term goals
- Integrated – it should link various aspects of government, people management, individuals and teams.

Performance management incorporates the following:

- Performance improvement – throughout the organisation, in respect of individual, team and organisational effectiveness
- Development – unless there is continuous development of individuals and teams, performance will not improve
- Managing behaviour – ensuring that individuals are encouraged to behave in a way that allows and fosters better working relationships.

At its best, performance management is a tool to ensure that managers manage effectively and are aware of the impact of their own behaviour on the people they manage, and are encouraged to identify and exhibit positive behaviours. This starts with the sound execution of two crucial processes:

- Appraisal
- Promotion.

Unless these fundamental building blocks are in place, it is difficult for wider performance management linkages to be made successfully. For example, linking pay and reward to performance encourages a culture in the organisation that focuses on the importance of performance and adds meaning to performance assessment, which may be seen as unimportant if it does not affect pay. However, this is only possible if confidence can be expressed in the performance assessments being made.

States currently use the Annual Performance and Evaluation Report (APER) system for staff performance appraisal. However, there is mounting evidence that the system is not being well utilised and its results are formulaic and of little real value in measuring personal performance. This toolkit is designed to give you an overview of how to establish a performance management framework that incorporates modern good practice and some resources to support the introduction of more meritocratic performance assessment. It is suggested that if states wish to make their performance appraisal system more effective and useful, they may wish to consider the content of the toolkit to reinforce or replace their current practices.

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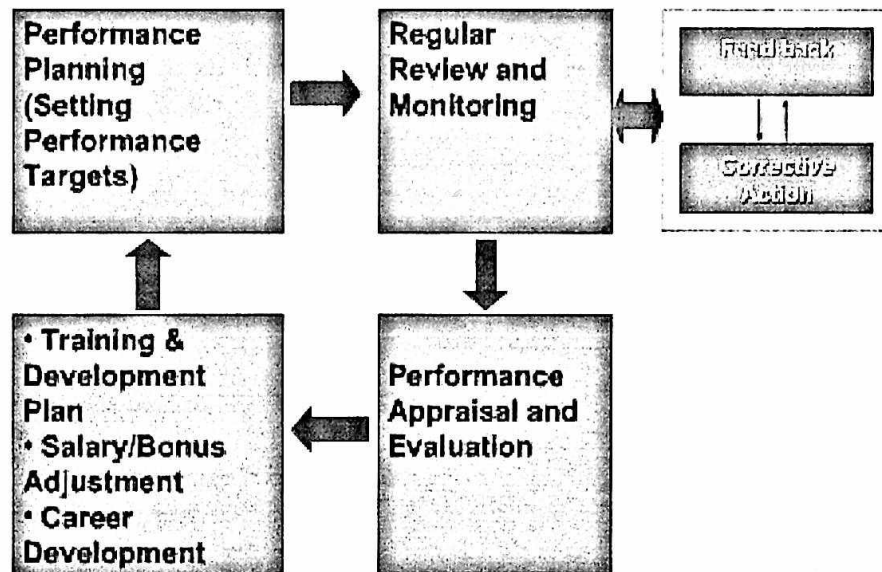


# Defining Performance Management

Performance management can be defined as a set of management processes, often supported by information technology, that help to improve management, strategy execution and decision making in organisations. Performance management processes help organisations define strategic objectives, measure performance, conduct analyses and report performance, as well as aligning people and culture.

Performance management is a much broader function of human resources (HR), as it encompasses activities such as joint goal setting, continuous progress review and frequent communication, feedback and coaching for improved performance, implementation of employee development programmes and rewarding achievements.

The process starts with the joining of a new incumbent in a system and ends when an employee quits the organisation. It is very much cyclical and continuous in nature as shown in the diagram below.



Some of the guiding principles of effective performance management are listed below:

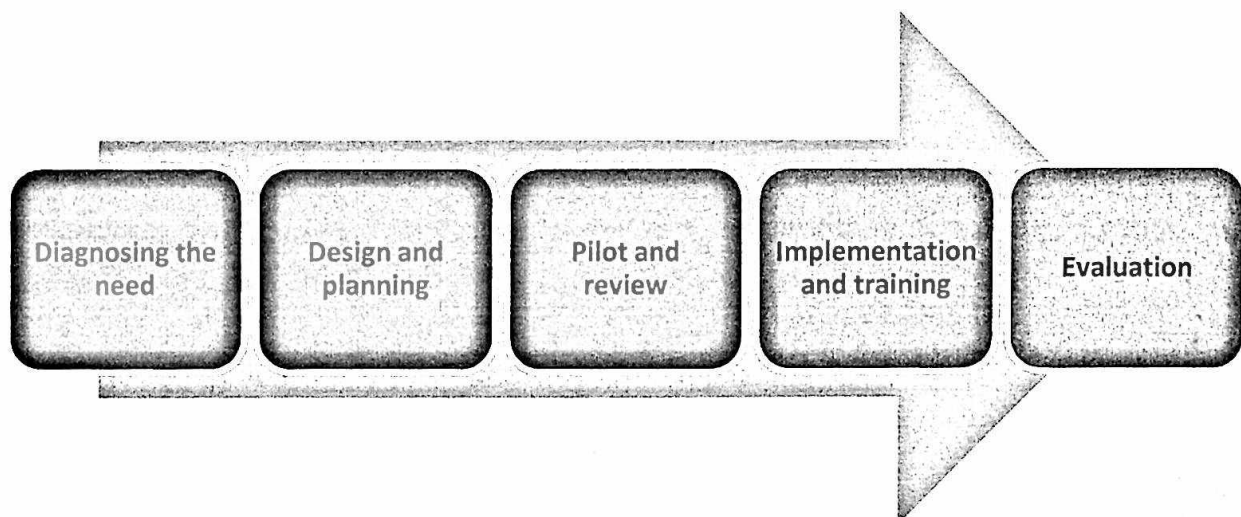
1. There is an objective employee performance management system for employees which managers are trained in and to which they are committed
2. The individual's goals should be aligned with the department goals, and the department should be evaluated as well as the individual
3. Individual performance assessment is linked to agreed targets or service standards and involves at least an annual assessment; ratings should be given based solely on performance
4. Results of performance assessment are available to respective employees, are properly filed and added to an HR database
5. There are rewards and sanctions for good and poor performance, which include enhanced or delayed promotion

6. Operation of the system is monitored by the central human resources management (HRM) function, and remedial action is taken when necessary
7. An employee's position should not dictate whether he/she has more or less access to the highest level of ratings; supervisors should be able to articulate to employees at all levels what it takes to achieve excellence, to accomplish major goals, and to make unique contributions worthy of the highest level ratings
8. Goals and expectations can be modified during the evaluation period as long as they are communicated to, and discussed with, the employee in advance of the annual assessment; changes should be made in writing
9. Performance expectations include all job outcomes:
  - Impact of the employee on 'customers'
  - Services and products delivered by the employee
  - Processes used and policies followed
  - Organisational values demonstrated on the job.

## Performance Management System Design, Development, Implementation and Maintenance

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Those wanting to establish or revise an existing performance management framework may wish to consider the following stages of design and development.



### Stage 1: Diagnosing the Need

Whether implementing a new system or revising an old one, the diagnostic phase should seek to establish the needs of all stakeholders and identify any problems to be addressed. If a performance management system is already in place, it should attempt to establish the extent to which the organisation's requirements are met by the existing arrangements, the elements that are working well and those aspects that are receiving negative feedback from users.

Refer to Annex 1 for some example assessment questions.

## Stage 2: Design and Planning

Planning the development and introduction of performance management requires:

1. The preparation of a summary of the diagnostic review, setting out the following:
  - An analysis of the situation, highlighting issues that will need to be addressed and challenges that might need to be overcome
  - The reasons for introducing performance management or redesigning an existing system and the potential outcomes
  - The specific aims of performance management for the medium and long term relevant to particular organisational circumstances
  - Success criteria detailing how achievement of these aims will be met with timescales.
2. A summary of the elements of the process, with a definition of the roles of various stakeholders. This should include any specific actions intended to encourage a performance culture, a summary of how organisational values will be reflected and how the process will relate to other processes to manage talent, careers and development of reward.
3. An assessment of the expectations of all stakeholders, including external stakeholders such as customers, to ensure alignment of internal processes and objectives with external factors such as customer expectations and judgements of performance.
4. An assessment of the resources required to develop performance management.
5. A programme setting out a timetable for:
  - Feedback from all stakeholders on the proposals
  - Obtaining support from senior managers and stakeholders
  - Communication of proposals with staff at all levels, including getting involvement in the design of the process and buy-in from staff representatives
  - Getting support and buy-in from line managers on both the design and implementation of proposals
  - Providing training for both managers and staff (important)
  - Providing the resources required to develop the scheme (people and money)
  - Communicating details of the plan and the scheme to employees (it is vital that this should be done thoroughly and in good time)
  - Pilot scheme arrangements (it is generally desirable to pilot test the scheme).
6. A plan for monitoring and evaluating implementation against agreed success factors, e.g.
  - Measures of individual performance such as competence levels, proportion of employees rated as good performers or above on the appraisal system or fewer incidences of poor performance

- Measures of organisational performance such as profitability per employee, customer feedback, customer repeat business
- Measures of job satisfaction
- Measures of employee engagement
- Feedback on management behaviour
- Skills, closing skills gaps, rising skill levels, return on investment in development.

The following points should be addressed when designing the performance management scheme and deciding on the processes required:

- How performance planning should take place
- Definition of what will be measured as representative of performance – there must be objectively verifiable targets (KPIs) agreed for each individual that collectively reflect the performance targets of the unit or ministry, department or agency (MDA)
- What document will be adopted to provide performance targets and strategic objectives for the unit/MDA against which individual performance will be measured. For example, these might be a State Development Plan, a Medium Term Sector Strategy (MTSS) or a Service Charter
- What skill sets and/or competencies need to be maintained or delivered, how often these will be reviewed and if they need to be tailored to the needs of individual business units or teams
- The use of personal development plans
- Approaches to managing performance on a continuous basis
- How and when performance management review meetings should take place, including the definition of the responsibilities of both parties for preparing for the review as well as taking part in it
- The documentation required
- The link to performance- or contribution-related pay, if any – how assessments will inform pay decisions
- The use of self and/or 360-degree appraisal
- The use of objectives – the form they should take, how they will be measured.

### Stage 3: Pilot and Review

The pilot process should test the ease with which any documentation can be completed, understanding of both 'appraisees' and appraisers of the process and its aims and objectives – that is, the 'why' as well as the 'how' of performance management.

Piloting is important because too cumbersome or obscure a process will produce a negative reaction from both appraisers and 'appraisees', which may impact on their willingness to complete it. It is also important that all stakeholders fully understand the issues and rationale for performance management as well as how to complete the paperwork to enable it to address the issues rather than become an automated tick box exercise that only provides information on objectives and training requirements.

At the end of the pilot stage it would be useful to revisit the diagnostic questions and review whether the draft proposals have increased or changed the understanding of these issues.

In addition, after the pilot process a further round of consultation and feedback should be undertaken – ideally after a full cycle of performance management has taken place – to ensure the process has the best chance of achieving its stated intentions.

Finally, all staff should be adequately briefed on the process, what their role will be and what they will need to know to fulfil it, as well as what the benefits are likely to be, what the process is trying to achieve and what impact it is likely to have on their behaviour and activities.

An overall description of the performance management scheme should be issued to all employees, setting out its objectives and method of operation and the benefits it is expected to provide for all concerned. Some organisations have prepared elaborate and lengthy briefing documents, but fairly succinct documents are often sufficient as long as they are written in simple language and are well produced.

It is desirable to supplement written with oral briefings through a briefing group system, if there is one, or a special briefing programme. In a large or dispersed organisation, this will have to be carried out by line managers, who will have to be briefed on what they should do.

#### **Stage 4: Implementation and Training**

Once the process has been agreed, managers should be fully briefed by HR officers on the timetable of actions to implement the system, including the paperwork or online forms.

Performance management is not easy. It requires high levels of skill by everyone involved and the skills are likely to be ones that have not yet been developed or put into practice.

The main performance management skills that people need to learn are:

- Defining accountabilities and key result areas
- Defining objectives
- Identifying and using performance measures
- Defining and assessing competencies and behavioural requirements
- Giving and receiving feedback
- Questioning and listening
- Identifying development needs and preparing and implementing personal development plans
- Diagnosing and solving performance problems
- Coaching.

Training may be provided by internal HR officers but there will be a limit to the amount of time that can be spared. Continuing encouragement, coaching, guidance and support are also required. This can be provided by HR but can usefully be supplemented by experienced line managers acting as coaches.

## Stage 5: Evaluation

It is essential to evaluate both the effectiveness and impact of performance management. This can be done in a number of ways:

1. Conduct opinion surveys/questionnaires immediately following a review meeting. An example survey can be found in annex 2
2. Collect feedback from managers to determine whether the process helped them develop more positive relationships with the people they manage, make fair judgements and positive recommendations, was straightforward to complete and the extent to which they believe the potential benefits were met by the process.

## Reliable Appraisal Assessment

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Appraisals regularly record an assessment of an employee's performance, potential and development needs. The appraisal is an opportunity to take an overall view of work content, loads and volumes, to look back on what has been achieved during the reporting period and agree objectives for the next.

### Objectives

- The main objectives of an appraisal are usually to review employees' performance and determine their potential.
- Appraisals can benefit both employers and employees by improving job performance, by making it easier to identify strengths and weaknesses and by determining suitability for development
- The appraisal should be an ongoing and transparent process, with employees allowed to see their appraisal reports and have the opportunity to sign the completed form, as well as to express their views on the appraisal they have received.

### How to Carry Out an Appraisal

- **Step 1** – Senior HR managers should train the appraising managers and provide them with the time, coaching and resources needed for them to adequately prepare, collect feedback from peers/colleagues, review the self appraisal, hold face-to-face appraisal meetings and also to follow up on agreed actions and finalise performance objectives. This is to help them assess performance effectively and to put that skill into use in the appraisal process
- **Step 2** – The appraisal methodology, timelines and performance objectives should be well documented and communicated among managers and employees
- **Step 3** – The appraisal process should be made simple and straight forward
- **Step 4** – Appraising managers and officers being appraised should be given written instructions on what to focus on during the appraisal and how to complete the appraisal form. They should also be able to approach HR officers for guidance/support

- **Step 5** – HR managers should monitor the appraisal system being carried out closely and properly. They should be able to determine whether the system needs to be modified to meet the changing needs of the organisation.

## Designing the Appraisal Form

The design of forms will depend on the nature of the organisation, the objectives of the system and the employees to be appraised. However, most performance appraisal forms should contain provision for some if not most of the following:

- Basic personal details, that is: name, department, post, length of time in the job
- Job title
- Job description
- A detailed review of the individual's performance against a set of pre-agreed and tailored performance objectives
- An overall performance rating
- General comments by a more senior manager
- Comments by the employee
- A plan for development and action. In addition there should be some guidance notes explaining the objectives of the scheme and how the face-to-face appraisal meeting should be conducted.

## Appraisal Rating

The appraisal rating summarises on a predefined scale the views of the appraising manager on the level of performance achieved. A rating scale is supposed to assist in making judgments and it enables those judgments to be categorised to inform performance or simply to produce an instant summary for the record of how well, or not so well, someone is doing. Rating scales can be alphabetical (a, b, c, etc), or numerical (1, 2, 3, etc). The alphabetical or numerical scale points are often given brief, associated descriptions, for example, a = excellent, b = good, c = satisfactory and d = unsatisfactory. Alternatively, scale levels may be more helpfully described as follows:

- **A = Exceptional performance:** exceeds expectations and performance objectives set in all areas and consistently makes an outstanding contribution to the department and MDA, extending the impact of the role
- **B = Good performance:** consistently performs in a thoroughly proficient manner and exceeds expectations and performance objectives set in some areas
- **C = Meets requirements:** meets the basic requirements of the role, although there are significant areas for development. Does not meet all performance objectives set
- **D = Unacceptable performance:** performance is below the required standard and fails to meet the basic requirements of the role; shows a lack of commitment to performance improvement or a lack of ability, which has been discussed prior to the performance review.

In order to ensure ratings remain as objective as possible it is important that all performance objectives are SMART i.e. specific, measurable, achievable, relevant, time-bound. This will reduce later subjective arguments of 'he said/she said' as it should be obvious whether the agreed targets have been met.

## Types of Appraisal

There are a number of different types of performance appraisal strategies to choose from. Knowing there are options available should give you the flexibility to find the right type of appraisal method for the needs of your MDA or department.

Some examples are outlined below:

**Self appraisal.** The officer assesses his/her own performance against a set of pre-agreed performance objectives. While often extremely subjective, such assessments can help the manager identify perception gaps and better prepare for the face-to-face appraisal discussion.

**Manager appraisal.** This is the most well known. The manager provides feedback on how well the officer has performed against the objectives set, citing examples, and agrees performance objectives for the next assessment period. Development areas are identified to help the officer reach his/her full potential and work towards his/her career goals.

**360° appraisal.** This type of appraisal is not suitable for all officers as it is extremely time consuming and may not be meaningful unless a structured approach is used. Feedback is collected from peers, colleagues and 'customers' to give the manager a rounded picture of how they interact with others and respond in a variety of different situations. To be meaningful, however, those approached for feedback should be able to provide this anonymously and because they have regular professional contact with the individual being assessed. The feedback provided is for the eyes of the manager only and should not be repeated verbatim to the officer being assessed. Rather, it should be used by the manager for development planning and discussion.

Refer to annexes 3, 4, 5 and 6 for example templates.

## Promotion as a 'Reward'

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The advancement of an employee from one job position to another job position that has a higher salary range, a higher-level job title and, often, more and higher-level job responsibilities, is called a promotion. Sometimes a promotion results in an employee taking on responsibility for managing or overseeing the work of other employees. Decision-making authority tends to rise with a promotion as well.

A promotion is viewed as desirable by employees because of the impact a promotion typically has on pay, authority, responsibility and the ability to influence broader organisational decision making. It raises the status of the employee who receives a promotion that is a visible sign of esteem from the employer. However, in order to reinforce the concept of meritocracy and the association between promotion as a reward for strong performance, it should only be awarded on grounds of eligibility, merit and vacancies – not on eligible service alone.



A promotion is a powerful communication tool about what is valued within an organisation and, as such, managers considering promoting officers in their department should follow a structured decision-making process, guided by the HR officer. For example:

- **Step 1.** –Identify which officers are *eligible* for promotion
- **Step 2** – Review the names against each officer's appraisal records to determine which have demonstrated strong performance against set objectives in their day-to-day roles
- **Step 3** – Make *promotion nominations* to the Head of Department based on the performance of the individual, supported by relevant documentary evidence, appraisals and examples
- **Step 4** – Head of Department submits reviewed nominations to an HR Board for transparent discussion and review
- **Step 5** – HR Board and Head of Department approve the list of promotion nominations, documenting the reasons for the decisions reached
- **Step 6.** – Nominated officers are asked to take any relevant exams/interviews, based on the requirements and job description of the role they are being considered for
- **Step 7** – The officers' scores are reviewed and discussed by the HR Board and Head of Department and promotion recommendations approved
- **Step 8** – Once promotion recommendations have been approved, detailed feedback should be given to the appraising managers of unsuccessful candidates to ensure these development areas can be addressed and incorporated into their performance objectives.

Thus, a promotion must only be available to employees who contribute and add value to the organisation if the notion of promotion as a form of reward is to be reinforced.

## Linking Performance to Pay and Reward

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Performance-related pay (PRP) is a method of remuneration that links pay progression to an assessment of individual performance, usually measured against pre-agreed objectives (also known as merit pay). Pay increases awarded through PRP are normally consolidated into basic pay, although sometimes they involve the payment of non-consolidated cash lump sums or the award of additional increments.

The objectives of a PRP system may be grouped under three main headings:

1. Encouraging high performance levels by linking reliable performance assessment to pay
2. Embedding an entrepreneurial or high-performance culture across an organisation
3. The notion of equity or fairness.

Pay is not, however, the only way to reward good performance as the following list demonstrates.

Types of reward:

- Salary
- Benefits
- Allowances
- Awards
- Promotion
- Pensions
- Health insurance and medical benefits
- Flexibility at work
- Holidays
- Working hours
- Work–life balance, etc.

At the end of the day, however, the success of any reward or PRP scheme is only possible if enough faith is placed in the appraisal and performance management of individual officers. The manager's role in reinforcing a meaningful performance management system is therefore critical. Managers should therefore be involved in the design/redesign of any system from the beginning to ensure consistency and transparency in application when assessing performance.

## Management Skills: Reinforcing Objective Performance Management

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Management skills are the crucial resource on which any organisation depends. They turn strategy into action and officers' potential into results.

But being a manager is incredibly difficult and everyone's style is different. Being a good manager does not just happen. It takes practice and patience as well as a sound understanding by the manager, not just of his/her own strengths and development areas, but also those of his/her junior officers.

Some of the trickiest areas for managers are often dealing with two critical and common interpersonal challenges:

- Giving difficult performance feedback
- Handling conflict.

It is therefore likely that the HR officer will need to help coach and counsel new managers and those with challenging officers who need strong monitoring or additional management support. A tip sheet is outlined in Annex 7 for this purpose and may be utilised as follows:

- **Step 1** – HR officer meets on a monthly basis with his/her assigned team or unit head to discuss the officers in that given area and their individual HR needs

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- **Step 2** – Through the course of these conversations it should become apparent which officers are underperforming and will therefore need more hands-on management, and which officers may be likely to cause conflict in the workplace
  - **Step 3** – Depending on the comfort, skills, background and experience of the manager involved, the HR officer may need to provide ongoing coaching and support to the manager to help him/her deal with the HR issue at hand. The tip sheet should be used as a prompt to help guide the conversation
  - **Step 4** – The HR officer and manager should continue to monitor and document the officer in question and provide more formal intervention as needed.

# ANNEX 1: Performance Management System Diagnostic Checklist

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To fully understand what is needed in terms of performance management, the answers to the following questions should be available:

1. What does good performance look like in our organisation?

- What are the inputs, for example effort, knowledge?
- What are the outputs, for example positive behaviours, good customer feedback, financial success, achievement of objectives, generation of new ideas?
- Is the view of 'good' performance consistent across the organisation?

2. Are managers committed to managing performance?

- Do line managers have the skills to carry out their performance management duties effectively?
- Are senior managers supportive?

3. What does performance management need to address?

For example:

- Effectiveness of line management
- Communication
- Role clarity
- Reward
- Development
- Direct link with strategic objectives.

4. Does our organisational culture encourage or hinder high performance?

- Is there sufficient common understanding of what the culture is to inform and underpin performance management?
- Is performance recognised and rewarded?
- Are managers able to give praise in a positive way?
- Is performance recognised in any espoused values?

If an existing performance management programme is being redesigned, it would also be useful to answer the following:

1. How are current performance management processes perceived by individuals and managers?
2. Do staff believe performance management is carried out effectively by managers?

- Do they believe that they benefit from performance management in the sense that they get good feedback and guidance and support in developing their talents and careers?
  - Do they believe managers make judgement about their performance fairly and accurately?
3. Are performance management processes integrated with strategic and business planning processes and/or other HR processes?
    - Do performance objectives flow from the strategic business objectives?
    - Is performance management information used to inform decision making on pay, development or talent management?
  4. Do all stakeholders (that is, top management, line managers, individual employees and employee representatives, and HR) within the organisation feel ownership of the process?
    - Are they willing to devote sufficient time to complete the process?
    - Do they feed back on the value of the process?
    - Are they willing to be involved in any redesign of the process?
  5. Are the aims and operation of performance management and how it can benefit all concerned communicated thoroughly and effectively?
    - Does everyone have the same understanding?
    - Does everyone know what they are expected to do?
  6. Is training in performance management skills given to both appraisers and appraisees?
    - Is the documentation being completed appropriately?
    - Are there any problems with the process being applied consistently across the organisation?

Ideally, it would be helpful to use these questions as a basis for an employee questionnaire or a series of focus groups to gather views from a range of levels in different parts of the organisation on the current use and future needs of performance management.

## ANNEX 2: Setting Individual Work Objectives And Targets

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If performance is to be appraised then there must be explicit work objectives and targets against which achievements can be evaluated. These objectives and targets should be drawn from two sources:

1. The job description for the post – if a job description already exists, identify 'key results areas' or 'key performance indicators' (KPI) as well as the specific duties and responsibilities of the post. The KPIs in particular can be used to set annual targets
2. An annual work plan for the department or unit within which an individual works. can provide another source of targets and performance indicators. Annual action plans to implement the MDA's strategic objectives are an essential part of corporate performance management.

**But a word of warning:** setting performance targets can be used in a top-down 'control and command' fashion to guide and control staff behaviour and actions. Measures are primarily used to eliminate variance and increase conformity. This can lead to a culture in which fear of sanction leads to an obsession with achieving targets at all costs and sometimes in conflict with the real immediate needs of the organisation.

Objectives and targets should be brief and easily understood. They should be agreed as part of the objective setting review meeting between the reviewer and the reviewee. If priorities or circumstances change during a performance period then, with the agreement of both parties, the objectives should be changed. Where a joint determination cannot be made on objectives and outcomes, the reviewer will make the determination; however, there will be a right of appeal.

Support staff, such as receptionists, messengers and cleaners, who serve across departments and units, need to be treated somewhat differently as setting individual work targets may be inappropriate. Rather, some group work plan and target setting can be engaged wherein all staff of a particular cadre have the same targets. However, each employee will be assessed individually against these common targets.

All objectives and targets must be measurable and should and be linked to improving capacity of the MDA to fulfil its mandate and achieve its strategic objectives. They should be:

- Linked to the MDA's strategy as set out in the MTSS or similar, and activities identified to achieve its strategic objectives
- Linked to the post's job description
- Be 'SMART':

Specific – objectives should be directly related to specific plans, projects, etc. Use very active words such as deliver, implement, produce etc.

**Measurable** – measurements should be a balance between quantitative (objective and usually easy to measure, for example, meeting a deadline) and qualitative (subjective and open to interpretation on the part of the appraiser, for example, demonstrating behaviour that is responsive to the MDA's values).

**Achievable** – targets and objectives should be achievable but at the same time challenging. The individual should also be able to control the objective, i.e. have the necessary resources and authority.

**Related to the job** – each target and objective must be realistic and relevant to the individual's role, and a subset of the manager's objectives. Challenging and broadening experiences can also be highly relevant to service and/or personal development.

**Time bound** – the objective must include a 'by when' statement.

When setting performance objectives and targets care should be taken to:

- Balance the short term and longer term – it is easy to over-emphasise the short term and ignore longer term considerations
- Balance quality against quantity – a reasonable limit should be kept on the number of expected achievements in any year and not all accountabilities have to be used as targets set each year
- Balance targets that are totally individual with those achieved as part of a team
- Attempt to include a range of targets and not just those that are easy to measure, even where this will require some thought as to what indicators to use
- Remember that unforeseen situations may impact upon the achievement of performance targets; if necessary, changes should be made to the targets so they remain realistic.

# ANNEX 3: Performance Management System Evaluation Survey

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Opinions should be reviewed on the following four areas:

A. Communication and relationships with line managers:

- a. Do individuals feel well informed by their line managers about their role and what they need to do to perform it well?
- b. Do individuals trust line managers to make fair and accurate assessments on their performance?
- c. Do they feel their line managers actively encourage their opinions and are willing to listen to them and feed these opinions into their decision making?
- d. Do individuals feel sufficiently informed by line managers about organisational objectives and how these relate to their personal objectives?

B. Alignment of purpose – understanding of and identification with values:

- a. Do individuals understand the core purpose of the organisation – what it is here to do?
- b. Can they relate this to their own role?
- c. Do individuals understand who their 'customers' are and what they need to do to meet the needs of these customers?

C. Measurement of performance:

- a. Do individuals understand what good performance looks like for them as individuals, their team and the organisation?
- b. Do they feel the organisation makes informed and fair assessments of performance?

D. Impact:

- a. Do individuals understand the outcomes of their performance for the organisation?
- b. Do they believe performance management enables them to make better career progression or access development opportunities?



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## ANNEX 4: Self Appraisal Template

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*This form can be used to gather input from the employee prior to review of the annual performance appraisal and to assist in the performance appraisal review.*

Name:

Job Title:

Department:

Supervisor:

Name:

Rating Period:

**Please assess your job performance over the past year against the objectives set:**

**What do you consider to be your most important accomplishments in the past six/12 months?**

**What challenges made it difficult to meet the performance objectives set?**

**Assess how you demonstrated the competency requirements defined by your MDA?**

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**What additional skills, abilities and behaviours are needed for performance improvement in the coming year?**

**Please list any special accomplishments, awards, activities or recognitions:**

**Additional comments:**

**Signature:**

**Date:**

Return this completed form to your Supervisor prior to your formal performance appraisal review.

## ANNEX 5: Manager Appraisal Template

### PERSONAL INFORMATION

<b>Key Data</b>	
Appraisee Name:	Employment Date:
Present Position:	MDA:
Division/Branch/Unit:	Last Appraisal Date and Overall Appraisal Score:
Appraiser Name:	Department Supervisor:

### Instructions

[insert here]

The appraisee is the officer being assessed.

The appraiser is the superior officer making the assessment.

### Scoring Scale

- Score 5 – Exceeds the performance objectives set in ALL areas
- Score 4 – Exceeds the performance objectives set in SOME areas
- Score 3 – Meets requirements, as defined by the set performance objectives
- Score 2 – Inconsistent performer against the performance objectives set
- Score 1 – Below the required performance standards defined by the set performance objectives

### ASSESSMENT OF PAST PERFORMANCE

MDA/Department Objectives		
<b>Objective 1:</b> [Defined by PS/HOD and inserted by HR Dir during last appraisal round]	<b>Comment:</b> [appraiser to insert evidence/examples of how officer has met/not met this objective]	<b>Score:</b> [insert 1-5]
<b>Objective 2:</b> [Defined by PS/HOD and inserted by HR Dir during last appraisal round]	<b>Comment:</b> [appraiser to insert evidence/examples of how officer has met/not met this objective]	<b>Score:</b> [insert 1-5]
<b>Objective 3:</b> [Defined by PS/HOD and inserted by HR Dir during last appraisal round]	<b>Comment:</b> [appraiser to insert evidence/examples of how officer has met/not met this objective]	<b>Score:</b> [insert 1-5]

Individual Objectives		
<b>Objective 1:</b> [defined and inserted by appraiser during last appraisal round]	<b>Comment:</b> [appraiser to insert evidence/examples of how officer has met/not met this objective]	<b>Score:</b> [insert 1-5]
<b>Objective 2:</b> [defined and inserted by appraiser during last appraisal round]	<b>Comment:</b> [appraiser to insert evidence/examples of how officer has met/not met this objective]	<b>Score:</b> [insert 1-5]

<b>Objective 3:</b> [defined and inserted by appraiser during last appraisal round]	<b>Comment:</b> [appraiser to insert evidence/examples of how officer has met/not met this objective]	<b>Score:</b> [insert 1-5]
<b>Objective 4:</b> [defined and inserted by appraiser during last appraisal round]	<b>Comment:</b> [appraiser to insert evidence/examples of how officer has met/not met this objective]	<b>Score:</b> [insert 1-5]
<b>Objective 5:</b> [defined and inserted by appraiser during last appraisal round]	<b>Comment:</b> [appraiser to insert evidence/examples of how officer has met/not met this objective]	<b>Score:</b> [insert 1-5]
<b>Objective 6:</b> [defined and inserted by appraiser during last appraisal round]	<b>Comment:</b> [appraiser to insert evidence/examples of how officer has met/not met this objective]	<b>Score:</b> [insert 1-5]

**Overall Appraisal Score**

**Overall Appraisal Score (1-5):**

**Appraiser Comment:**

**Appraisee Comment:**

**OPPORTUNITIES FOR DEVELOPMENT**

Tick the appropriate score against each competency listed. [The core required competencies are defined by the Perm Sec/HOD during each appraisal round]

	Score 5	Score 4	Score 3	Score 2	Score 1
Technical knowledge					
Communication skills					
Attitude					
Change management skills					
Interpersonal skills					
Problem solving skills					
Initiative					
Punctuality					
Reliability					
Leadership skills					
Management skills					

### SETTING OBJECTIVES FOR THE FUTURE

The appraisee is expected to work towards the performance objectives defined below over the next six months, after which time the officer will be formally appraised against the objectives set.

#### MDA/Department Objectives

**Objective 1:**

[To be defined by PS/HOD and inserted by HR Dir for assessment during next appraisal round]

**Objective 2:**

[To be defined by PS/HOD and inserted by HR Dir for assessment during next appraisal round]

**Objective 3:**

[To be defined by PS/HOD and inserted by HR Dir for assessment during next appraisal round]

#### Individual Objectives

**Objective 1:**

[To be defined by appraiser for assessment during next appraisal round]

**Objective 2:**

[To be defined by appraiser for assessment during next appraisal round]

**Objective 3:**

[To be defined by appraiser for assessment during next appraisal round]

Sign Off

Appraisee Sign off:

Appraiser Sign off:

Department Supervisor Sign off:

# ANNEX 6: 360° Appraisal Template

NAME OF OFFICER BEING APPRAISED \_\_\_\_\_

JOB TITLE OF OFFICER BEING APPRAISED \_\_\_\_\_

MINISTRY OF OFFICER BEING APPRAISED \_\_\_\_\_

DEPARTMENT OF OFFICER BEING APPRAISED \_\_\_\_\_

DATE 360° APPRAISAL SUBMITTED \_\_\_\_\_

Please take some time to respond to the following questions. All feedback provided will be treated in the strictest confidence and remain anonymous. Completed forms should be submitted directly to the superior officer.

1. Please describe your working relationship with the officer being appraised and how often you come into contact.

2. Please list five strengths of the officer being appraised.



3. Please list at least two things the officer might do to improve his/her performance on the job.

Please provide the following additional information.

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Thank you for taking the time to complete this form.

# ANNEX 7: Management Skills Tip Sheet

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## Giving Difficult Feedback

Feedback is any communication, verbal or written, which gives a person performance-based information about the work he/she delivers, how he/she behaves and the impact he/she has on people and projects in the workplace.

When done properly, feedback reinforces good performance and helps manage performance that falls short of the ideal. This results in a more engaged and productive workforce.

### Prepare yourself

- Plan in advance what you are going to say to ensure your feedback is constructive
- Use specific rather than general examples
- Be sure specific consequences are clear
- Be clear about what you expect the person to do
- Make sure you plan to give the feedback in an appropriate place and at an appropriate time e.g. not in front of others
- Focus on actual behaviours
- Be objective
- Be balanced
- Check your motives to make sure your feedback centres around the professional and not the personal
- Collect relevant information about the person's performance, identify key themes and inconsistent messages to check that the data you have are correct
- Review the officer's performance objectives
- Consider areas of positive institutional contribution.

### During the Feedback Conversation

- Explain calmly and clearly where development is required and the impact any inappropriate behaviour may have
- Use questions to check the officer's understanding of the feedback being shared
- Explain next steps for improvement to address the shortcomings to ensure the conversation does not finish on a negative
- Remember, the purpose of giving feedback is not to criticise but to help the officer reach his or her full potential
- Remember that body language is also an important part of non-verbal communication, so try to be mindful of this i.e. keep an open posture, maintain eye contact, sit forward and don't frown or scowl
- If the officer starts to cry or becomes too emotional, take a break but agree to return to the conversation as soon as possible
- If the officer wishes to dispute what is being discussed, then listen to what he/she has to say without interrupting to let him/her make his/her point
- Show empathy; however, this does not mean you have to agree with his/her point of view
- If agreement cannot be found, 'agree to disagree' then move on

- Seek agreement to either what success should look like or the overriding principle.

#### After the Feedback Conversation

- Document the 'need to improve' conversation and any agreed actions, with associated timeframes
- Regularly review the officer's performance
- If the poor performance continues, don't ignore it - have a follow-up conversation to remind the officer of his/her obligations
- Speak to your HR officer about further action or informal performance management.

#### Things to Avoid ...

##### **Teaching, lecturing**

"This can be the most wonderful experience you'll ever have", "People must learn how to get along with each other", "If you'll just be rational about this".

##### **Warning, threatening, admonishing**

"You had better do...", "If you don't do this..." "I warn you, if you do that..."

##### **Moralising, preaching, shoulds and oughts**

Invoking vague outside authority as accepted truths: "Everyone knows that you shouldn't..." "You ought to do this..." "Any thoughtful person would..."

##### **Advising, giving solutions or suggestions**

Telling the employee how to solve a problem; "Just wait a couple of years before deciding on career goals", "Go and make friends with some other people on the team".

##### **Ordering, directing, commanding**

Telling the employee to do something, giving him or her an order or a command without first exploring the reason for the problem: "Stop complaining!", "You must do this..."

##### **Judging, criticising, disagreeing, blaming**

"You're not thinking clearly", "That's an immature point of view", "You're just bringing this on yourself".

##### **Saying it's really OK**

If there is an issue, it needs to be addressed, for the sake of the officer and the organisation

##### **Interpreting, analysing, diagnosing**

Trying to find reasons, motives and causes prematurely – before the employee has the chance to lay out the issues. Searching for more information to help you solve the problem if in reality it is a problem the other person must solve for himself/herself. Making the employee feel like he/she is being interrogated: "Why do you suppose you hate working on these assignments?", "Who put that idea into your head?"

##### **Withdrawing, distracting, humouring, diverting**

Trying to get the employee away from the problem, withdrawing from the problem yourself, distracting the other person, 'kidding him/her out of it', pushing the problem aside:

"Just forget about it", "Let's not talk about it right now", "We've been through all this before", "I'm sure things will look better tomorrow".

### Probing, questioning too early

This may put the person on the defensive.

### Useful Phrases/Techniques

Technique	Example
Use active listening techniques to diffuse the emotion	<i>"You sound angry about having someone double-check your work."</i>
Acknowledge feelings directly	<i>"I can see that you are upset..."</i>
Use 'we' phrases	<i>"How can we resolve the situation?"</i>
Start asking open-ended questions	<i>"Give an example, tell me more..."</i>
'Acknowledge'	<i>"I understand why you might feel..."</i>
Maintain the focus of the discussion	<i>"I realise... but now focus on..."</i>
Encourage a silent employee to talk	<i>"I want to understand your view..."</i>
Show the impact of their behaviour	<i>"Employees have complained..."</i>
Spend time on development action	<i>"Let's look at how we can improve."</i>

### Dealing with Conflict

In many cases, conflict in the workplace just seems to be a fact of life. We've all seen situations in which different people with different goals and needs have come into conflict. And we've all seen the often-intense personal animosity that can result.

The fact that conflict exists, however, is not necessarily a bad thing – as long as it is resolved effectively, it can lead to personal and professional growth. In many cases, effective conflict resolution can make the difference between positive and negative outcomes.

The good news is that by resolving conflict successfully, you can solve many of the problems that it has brought to the surface. However, if conflict is not handled effectively, the results can be damaging. Conflicting goals can quickly turn into personal dislike. Teamwork breaks down. Talent is wasted as people disengage from their work. And it's easy to end up in a vicious downward spiral of negativity and recrimination.

### Conflict Styles

There are a number of recognised but distinct conflict styles (Thomas and Kilmann 1974) that can be used to help you to identify which category of behaviour you or your junior officers tend towards when conflict arises. Namely:

**Competitive.** People who tend towards a competitive style take a firm stand and know what they want. They usually operate from a position of power, drawn from things like position, rank, expertise, or persuasive ability. This style can be useful when there is an emergency and a decision needs to be made fast, when the decision is unpopular, or when defending against someone who is trying to exploit the situation selfishly. However, it can leave people feeling bruised, unsatisfied and resentful when used in less urgent situations.

**Collaborative.** People tending towards a collaborative style try to meet the needs of all people involved. These people can be highly assertive but, unlike the competitor, they cooperate effectively and acknowledge that everyone is important. This style is useful when you need to bring together a variety of viewpoints to get the best solution, when there have been previous conflicts in the group, or when the situation is too important for a simple trade-off.

**Compromising.** People who prefer a compromising style try to find a solution that will at least partially satisfy everyone. Everyone is expected to give up something, and the compromiser him- or herself also expects to relinquish something. Compromise is useful when the cost of conflict is higher than the cost of losing ground, when equal strength opponents are at a standstill and when there is a deadline looming.

**Accommodating.** This style indicates a willingness to meet the needs of others at the expense of the person's own needs. The accommodator often knows when to give in to others, but can be persuaded to surrender a position even when it is not warranted. This person is not assertive but is highly cooperative. Accommodation is appropriate when the issues matter more to the other party, when peace is more valuable than winning, or when you want to be in a position to collect on this 'favour' you gave. However, people may not return favours, and overall this approach is unlikely to give the best outcomes.

**Avoiding.** People tending towards this style seek to evade the conflict entirely. This style is typified by delegating controversial decisions, accepting default decisions and not wanting to hurt anyone's feelings. It can be appropriate when victory is impossible, when the controversy is trivial or when someone else is in a better position to solve the problem. However, in many situations this is a weak and ineffective approach to take.

Once you understand the different styles, you can use them to think about the most appropriate approach (or mixture of approaches) for the situation you are in. You can also think about your own instinctive approach and learn how you need to change this if necessary.

Ideally, you can adopt an approach that meets the situation, resolves the problem, respects people's legitimate interests and mends damaged working relationships.

Most importantly, in resolving conflict it is important to follow these rules:

- Make sure that good relationships are the first priority: as far as possible, make sure that you treat the other person calmly and that you try to build mutual respect. Do your best to be courteous to one another and remain constructive under pressure
- Keep people and problems separate: recognise that in many cases the other person is not just 'being difficult' – real and valid differences can lie behind conflictive positions. By separating the problem from the person, real issues can be debated without damaging working relationships
- Pay attention to the interests that are being presented: by listening carefully you'll most likely understand why the person is adopting his or her position

- Listen first, talk second: to solve a problem effectively you have to understand where the other person is coming from before defending your own position
- Set out the 'facts': agree and establish the objective, observable elements that will have an impact on the decision
- Explore options together: be open to the idea that a third position may exist and that you can get to this idea jointly.

By following these rules, you can often keep contentious discussions positive and constructive. This helps to prevent the antagonism and dislike which so often causes conflict to spin out of control.

### The Conflict Resolution Process

Based on these approaches, a starting point for dealing with conflict is to identify the overriding conflict style employed by yourself, your team or your organisation.

Over time, people's conflict management styles tend to mesh, and a 'right' way to solve conflict emerges. It is good to recognise when this style can be used effectively; however, make sure that people understand that different styles may suit different situations.

Look at the circumstances, and think about the style that may be appropriate. Then use the process below to resolve the conflict:

**Step 1: set the scene.** If appropriate to the situation, agree the rules of the IBR Approach (or at least consider using the approach yourself.) Make sure that people understand that the conflict may be a mutual problem, which may be best resolved through discussion and negotiation rather than through raw aggression.

If you are involved in the conflict, emphasise the fact that you are presenting your perception of the problem. Use active listening skills to ensure you hear and understand other's positions and perceptions.

- Restate
- Paraphrase
- Summarise.

And make sure that when you talk, you're using an adult, assertive approach rather than a submissive or aggressive style.

**Step 2: gather information.** Here, you are trying to get to the underlying interests, needs, and concerns. Ask for the other person's viewpoint and confirm that you respect his or her opinion and need his or her cooperation to solve the problem.

Try to understand his or her motivations and goals, and see how your actions may be affecting these.

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Also, try to understand the conflict in objective terms: is it affecting work performance? damaging the delivery to the client? disrupting team work? hampering decision making? and so on. Be sure to focus on work issues and leave personalities out of the discussion.

- Listen with empathy and see the conflict from the other person's point of view
- Identify issues clearly and concisely
- Use 'I' statements
- Remain flexible
- Clarify feelings.

**Step 3: agree the problem.** This sounds like an obvious step, but often different underlying needs, interests and goals can cause people to perceive problems very differently. You'll need to agree the problems that you are trying to solve before you'll find a mutually acceptable solution.

Sometimes different people will see different but interlocking problems – if you can't reach a common perception of the problem, then at the very least, you need to understand what the other person sees as the problem.

**Step 4: brainstorm possible solutions.** If everyone is going to feel satisfied with the resolution, it will help if everyone has had fair input in generating solutions. Brainstorm possible solutions and be open to all ideas, including ones you never considered before.

**Step 5: negotiate a solution.** By this stage, the conflict may be resolved: both sides may better understand the position of the other and a mutually satisfactory solution may be clear to all.

However, you may also have uncovered real differences between your positions. This is where a technique like win-win negotiation can be useful to find a solution that, at least to some extent, satisfies everyone.

There are three guiding principles here:

- Be calm
- Be patient
- Have respect

# SPARC HRM 2013

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## HR Practitioner Tools

**3P:**

**Promotion and  
Advancement**

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## Promotion and Advancement

One of the most important responsibilities of managers is to make promotion decisions. These decisions are crucially important for any organisation's performance. In most civil service organisations, promotions take place on a regular basis, and promotions are often a matter of routine progress to the next most senior grade level. However, this is not an ideal approach, especially for specialist technical, professional and managerial posts. In these cases, every effort should be made to search for the most suitable candidate for the promotion, based on the needs of the post, the qualities and attributes of the candidate, and the need for transparency and equity, within the service promotion policies and rules.

The role of the human resources management (HRM) function in a modern promotion system is to:

- Ensure that the promotion policy of the service is clear. Public service promotion policies are usually based on a mix of seniority, qualifications and historical job performance. The relationship between these, and the weight given to each must be explicit
- Ensure that promotion procedures are systematic, equitable and published
- Ensure that the criteria for promotion are based on characteristics which are essential to the job, including skills, education, training and supervisory or managerial ability
- Ensure that appropriate mechanisms are used to identify candidates for promotion and to decide which candidates will be promoted. These can include promotion examinations and interviews as well as a simple review of seniority, qualifications and previous appraisal reports
- Ensure that managers are trained to base promotion decisions on neutral, job-based criteria applied equally to all candidates
- Ensure that promotion decisions are adequately documented (in the same way as selection decisions)
- Regularly review promotions to ensure that bias has not crept into the promotions system or to some promotion decisions. Make sure it doesn't eliminate certain categories of people from job advancement. Distribute job announcements widely, not just in public places of your workplace.

A checklist is provided in this document to assist human resources (HR) managers to review the effectiveness of promotion arrangements.

# Promotion Checklist

Steps	Yes	No	Necessary Action
Is the promotion policy adequate, legal and current?			
Are the promotion procedures equitable and appropriate?			
Are the promotion policy and procedures available to all employees?			
Are job descriptions and job specifications available for the posts which are to be filled by promotion?			
Are the criteria for promotion determined on the basis of characteristics which are essential to the job?			
Are appropriate mechanisms being used to identify candidates for promotion (internal advertisement, selection of all eligible officers based on seniority, qualifications, etc.)?			
Are appropriate mechanisms being used to select the candidate to be promoted (examinations, interviews, review of seniority, etc.)?			
Have managers been trained to make promotion decisions?			
Are promotion decisions adequately documented?			
Are candidates promptly notified of promotion and redeployment decisions?			
Are successful candidates' employment contracts (pay grades, other terms and conditions of service, job descriptions) promptly revised and recorded in their personnel files?			
Are successful candidates redeployed and provided with induction in their new duties?			

# SPARC HRM 2013

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## HR Practitioner Tools

**3Q:**

### **Absence Tracker Part 1: Instructions**

*(Electronic copy of tool is document 3R on accompanying CD)*

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## Absence Tracker Instructions

It is important that absence from the workplace is regularly and accurately tracked to ensure equal and fair treatment of all officers and to enable the MDA to plan accordingly.

The two most common types of absence are sickness and annual leave. While the resulting actions for the human resources (HR) officer will be different for the two forms of absence, the way in which they can be tracked is the same. To assist with these activities, a simple database has been created in MS Excel (*see CD for an electronic copy of this tool*).

### What the Spreadsheet Can Do:

The spreadsheet records sickness and leave days for each officer in each month. This means that individual officers' leave and sickness records can be seen at a glance, and HR or management action can be taken as necessary. In addition, the tool also automatically generates a summary of sick and leave absence by month and year, allowing trends to be identified.

It is a good idea to create a 'test' version of the spreadsheet, and enter a few fictitious records to experiment with how to use the spreadsheet and see what it can do.

**Step 1** - HR officers should monitor the absence or expected absence of officers in the assigned population every month.

**Step 2** - Absence should be entered *every month* into the Absence Tracker Database. This should be done as follows:

1. Click on the 'Data' worksheet
2. Make sure the names and details of all officers in the MDA are entered into columns A-F (i.e. staff ID number, staff name, line manager, cadre, grade level and hire date)
3. Against the relevant name enter the number of days' sick leave and vacation leave the officer has taken that month
4. Check the 'Totals' columns at the end of the spreadsheet (columns AE and AF) every month to make sure the total number of days taken for that year does not now exceed the annual sick leave or annual leave entitlement
5. Sick days - It is important that the HR officer monitor and analyse each officer's sickness patterns throughout the year. Where an officer is frequently taking a small number of days sick at the same time each month (e.g. every Friday or after a bank holiday) or every month, then the reason for this should be investigated. The HR officer should not wait until the officer has been absent for

a total of three months before inquiring into their complaint

6. Annual leave - It is also important that the HR officer monitor the annual leave taken against the approved days' leave for each officer. The number of days of annual leave across the entire team should also be reviewed to ensure efficient operations across the team/unit. If a large number of officers are taking leave at the same time then there is a possibility that annual leave has not been planned appropriately to provide adequate cover
7. Click on the 'Absence by month' worksheet
8. This worksheet provides HR officers and senior management with a quick snapshot of the number of days' absence taken per month, so patterns and anomalies can be identified and more effective leave planning implemented
9. Click on the 'Absence by year' worksheet
10. This worksheet provides HR officers and senior management with a quick snapshot of the number of days' absence taken throughout the year which can be used to:
  - a) Calculate the *cost* of the total number of days' sick leave taken per year. If there are a high number of sick days being taken by officers in the ministry, department or agency (MDA) then the reason for this should be investigated, e.g. are workloads too high, are officers suffering from work related stress, is motivation low?
  - b) Review the annual leave practices across the MDA and identify months of operational strain. This information can be used to more effectively plan for the subsequent leave year.

**Step 3** - Once the calendar year has come to an end the spreadsheet should be saved and filed and a *new*, blank Excel Absence Tracker used for the subsequent calendar year. Data should not be deleted from the spreadsheet.

# SPARC HRM 2013

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## HR Practitioner Tools

**3S:**

**Exit Interview Questionnaire**

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## Exit Interview Questionnaire

Human resources (HR) practitioners conduct exit interviews to gather data to improve working conditions, retain existing employees and identify operational and strategic areas for improvement across the ministry, department or agency (MDA) and the service as a whole. Typically, exit interview questionnaires are given to those retiring or resigning. Officers made redundant or terminated are not typically asked to complete the exit interview to prevent bias in the feedback provided.

An exit interview is typically a face-to-face meeting between an HR officer and a departing officer in their MDA. It is important that the meeting takes place in person so the HR officer can probe and dig deeper into any issues arising and explain the questions as required.

Step 1 - The HR officer agrees a time to meet with the departing officer

Step 2 - The HR officer asks the departing officer a series of questions and records their answers.

All answers can be given on an *anonymous* basis if preferred. The focus here is not on assigning blame or on getting others into trouble but identifying areas for improvement and potential solutions.

Step 3 - Every six months, the HR officer will analyse the exit interview questionnaires submitted and identify key trends and themes, and report these to the HR Director and/or Permanent Secretary with recommendations on how these areas can be improved.

Name of Departing Officer: \_\_\_\_\_

Name of HR Officer: \_\_\_\_\_

Date of Exit Interview: \_\_\_\_\_

What is your primary reason for leaving?

What was most satisfying about working in our MDA?

What was least satisfying about working in our MDA?

What was most satisfying about your last job?



What was least satisfying about your last job?

What would you change about your job?

Did your duties turn out to be as you had expected?

Did you receive enough training through the course of your career in the service to do your job effectively? If not, what additional training do you think you might usefully have received?

**What additional support could you have been provided in your last job?**

**What do you think our MDA could do to improve our appraisal process?**

**What do you think our MDA could do to improve our promotion process?**

**What advice would you give to those beginning a career in the civil service today?**

**What was the quality of the supervision you received throughout your career in the service? What additional skills do you think we might be able to help our managers develop?**

**What can our MDA do to make our workplace better?**

**Did any civil service policies, rules or processes make your job more difficult? If so, which?**

**Any other comments?**

**Thank you for taking the time to complete this questionnaire.**

# SPARC HRM 2013

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## HR Practitioner Tools

**3T:**

**Gender  
and  
Social Inclusion**

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## Gender and Social Inclusion

The overall goal of Nigeria's Gender Equality Policy is to build a just society devoid of discrimination, harness the full potential of all social groups regardless of sex or circumstance, promote the enjoyment of fundamental human rights and protect the health, social, economic and political well-being of all citizens, in order to achieve equitable rapid economic growth. It also aims to evolve an evidence-based planning and governance system where human, social, financial and technological resources are efficiently and effectively deployed for sustainable development.

This tool aims to support state government ministries, departments and agencies (MDAs) in ensuring that their strategies, services and operations are in line with Nigerian National Constitution and policy on gender equality.

Although not specifically included in the National Gender Equality Policy, international best practice also calls for consideration of social inclusion and exclusion (ensuring equitable treatment for, for example, people of different physical or mental abilities, age, or health status, and ethnic or religious minorities). International best practice also works on the principle that the overall profile and make-up of the civil and public services should be representative of the public that they serve.

The civil service human resources management (HRM) function should play an important role in fostering good practice with respect to gender *and* social inclusion in the civil service, across the whole range of HRM responsibilities from recruitment, promotion, training and development, and employee relations and welfare measures.

This tool therefore also sets out some specific areas of focus to help human resources (HR) officers to ensure the basics are in place to plan, deliver and assess achievement in relation to gender equality and social inclusion.

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# Section 1: National Gender Equality Policy

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## National Priorities and Targets for Gender Equality

The National Gender Equality Policy includes priorities and targets. Some of the most relevant to civil service HRM are briefly summarised below.

- **Framework:** Establish frameworks to ensure public and private spheres address gender
- **Approaches and tools:** Develop and apply gender mainstreaming approaches, tools and instruments compatible with Nigeria's macro-policy framework
- **Gender mainstreaming:** Gender equality as a core value and practice in society and governmental institutions
- **Global frameworks:** Global and regional gender equality frameworks incorporated in Nigeria's laws, legislative processes, judicial and administrative systems. Examples:
  - Equity/equality in employment opportunities
  - Elimination of discriminatory practices against the employment of women on grounds of sex, ethnicity, class, religion, age, disability or marital status
- **Representation:** Minimum threshold of representation for women to promote equal opportunity in all areas of political, social and economic life. For example:
  - 35% affirmative action in favour of women in political representation in elective/appointive posts
- **Specific projects:** Undertake capability building projects to enable women and men to take advantage of economic and political opportunities towards the achievement of gender equality and women's empowerment. Examples:
  - Equal access to critical resources
  - Reduce numbers in core poverty groups, particularly women
- **Education and sensitisation:** Sensitise all stakeholders on gender equality and women's empowerment as central to the attainment of overall national development. For example:
  - Equal access to formal/informal education and skills development opportunities.

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## Section 2: HRM Checklists for Gender and Social Inclusion

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The documents below cover three aspects which are of concern to the HRM function in state governments:

- Checklist for gender and social inclusion policies, decision making and commitment
- Checklist for disaggregated gender and social inclusion data collection
- A 'road map' to inclusion

### **Policies, Decision making and Commitment Checklist**

The first checklist can be used to test whether HRM policies, rules, procedures and decision making are appropriate to address issues of gender and social inclusion. The checklist also provides some measures of the wider organisational context, including the extent to which the organisation's leadership is committed to equality of treatment regardless of gender or other characteristic which may lead to social exclusion.

The checklist should be used regularly to assess the organisation's gender equality and social inclusion performance, and in particular to assess whether progress is being made in improving inclusiveness and equality. The process should be sufficiently formalised to produce regular (possibly annual) reports for senior managers. The causes of progress, or lack of progress should be analysed, and recommendations for improvements should be made. The intention is that by regularly drawing the issues to the attention of the organisation, gender and social equality will become an active reality.

### **Disaggregated Gender and Social Inclusion Data Collection**

The second checklist sets out the kinds of disaggregated data which should be collected by the HRM function to support HR planning, management and development. Further analysis will be possible once collection of gender and social disaggregated data is standard practice.

Once it is available, disaggregated data can be used for:

- Staff training in gender and socially disaggregated data collection/analysis
- Regular analysis of disaggregated data to ensure key information is drawn out to inform policy and practice
- Effective dissemination of findings/information to key directorates or other appropriate individuals/sections
- Action planning.

This checklist can be used to review the contents of existing personnel records and HRM Information Systems (HRMIS), and to identify where gaps exist. Not all of the disaggregated data suggested here may be readily available, or it may not be cost effective to collect it. However, HR officers should consider which gender and social inclusion data can be obtained, and how it can be used to improve gender equality and social inclusion at the service-wide or specific MDA levels.



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## **A Road Map to Inclusion**

The 'road map' provides a means for HR professionals and others to check the status of gender and social inclusion in the organisation by describing the characteristic attitudes and impact that are seen at each stage as people move from not accepting that there is a need to tackle issues of gender and social inclusion, through recognising the problem, to committing to resolve the problem, and finally to sharing responsibility as an integral part of everyone's work.

## Checklist 1: Policies, Decision Making and Commitment

	Yes	No	Comment
1. Does the organisation have a gender and social inclusion policy, action plan and budget?			
2. Do rules and regulations, recruitment and promotion, terms and conditions of employment, and grievance and disciplinary mechanisms take account of gender and social inclusion concerns?			
3. Does the leadership show commitment to gender equality and social inclusion?			
4. Do operational staff show commitment to gender equality and social inclusion?			
5. Does the organisation have specific programmes to promote gender equality and social inclusion?			
6. Does the organisation have a gender and social inclusion unit, or focal point system? Are there specific gender and social inclusion advocates within the organisation?			
7. Do job descriptions include a focus on non-discrimination and gender equality?			
8. Are plans in place to achieve government targets for representation of women in the workforce at state and/or local levels?			
9. Is there a balanced representation of women and men at all levels of personnel?			
10. Are staff in the organisation provided with gender equality and social inclusion training?			
11. Are women and potentially excluded groups properly represented in staff meetings and training activities?			

**Checklist 2: Gender and Social Inclusion Disaggregated Data**

Area	Priority	Purpose	Remarks
Gender and key social parameters identified in all data gathering	Essential	Allows disaggregated analysis of all information	
Numbers of each group recruited in past year by occupation/grade	High	Workforce planning Monitor trends toward meeting gender and social inclusion targets	Possible to see trends as they develop and adjust recruitment campaigns
Numbers of each group in each occupation/grade/location	Essential	Workforce planning Monitor trends toward meeting gender and social inclusion targets	Data may not be easily available by occupation and grade
Beneficiaries of loan facilities and staff benefits such as official vehicles, staff accommodation for each group	Medium	Monitor any bias in the allocation/take-up of benefits Determine any gender and social inclusion imbalance	Which cadres and employment groups/grades?
Promotions, deployment, and conversions for each group	High	Workforce planning Monitor trends toward meeting gender and social inclusion targets	Need information on occupation. Promotion by length of service or merit?
Numbers of each group undertaking training (including number of training days)	High	Monitor any hidden bias in allocation/take-up of training opportunities	Which occupations?
Transfers/postings: urban/rural for each group	High	Workplace planning Monitor gender and social inclusion balance in rural facilities	
Hours worked by each group by grade/profession	Medium	Workforce planning Determine any gender and social inclusion imbalance	May not be possible or cost effective to obtain this data
Numbers leaving workforce each year: retirement/attrition (age/gender/other groups by grade), dismissal	Medium	Check if attrition is systematically related to gender or social exclusion	Reasons for leaving will be needed to analyse this

## A Road Map to Inclusion: Organisational Maturity

	Phase 1	Phase 2	Phase 3	Phase 4
	Ignorance ← Knowledge → Action			
Leadership/cultural/organisational mind-set	No problem	'Their' problem	'Our' problem	Everyone's opportunity
Symptomatic response	No policy for gender and social inclusion No HR support for those suffering unequal treatment Compliance-based attitude and culture Minimal approach; legal minimum only	Targeted activity at specific groups: women, people with a disability, older people Basic equal opportunity awareness in HR recruitment function Some training in sensitisation of legislation or gender and social inclusion awareness	HR interventions and support through the employee relations function HR own the issue; drive and communicate Leaders and managers do not own the issues	The economic and business case is realised and communicated by leader Those at the top are accountable for progress Manager and supervisors are engaged Shared responsibility for gender and social inclusion
Impact	Hostile culture Few visible women or minority groups Poor retention No discussion; no	Little change to culture and mind-set; some patchy awareness and helping people to 'fit in' Not safe to discuss	Gender and social inclusion seen as an HR issue Increased sense that gender and social	Mainstreaming Sophisticated governance Exemplar employer

	<p>awareness</p> <p>High risk of grievance</p>	<p>Resentment and backlash at some seen to be getting 'special' treatment</p> <p>Seen as 'political correctness'</p>	<p>inclusion is 'a good thing'</p> <p>Little understanding of the relevance of gender and social inclusion to economic and social well-being</p> <p>Minorities directly involved in culture change interventions and advocacy</p> <p>Continuing risk of grievance</p>	<p>gender and social inclusion openly</p>	
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# SPARC HRM 2013

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## HRM Training Resources

**4A:**

**List of PowerPoint  
Presentations**

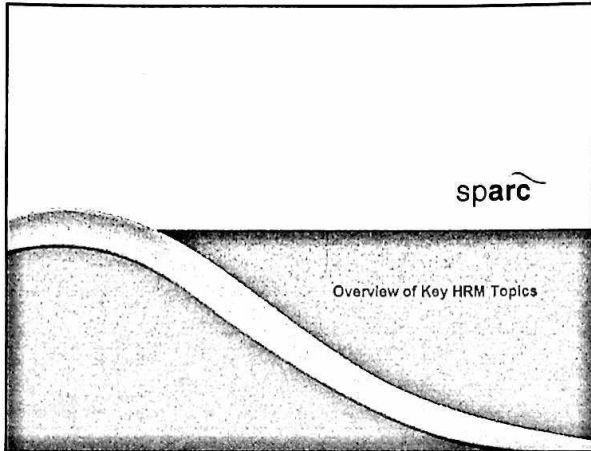
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## HRM Training Resources

The following example human resources (HR) training materials are NOT intended as a substitute for professional human resources management (HRM) training, delivered and facilitated by a recognised professional HR body. Instead, they are intended to provide a template from which HR officers may wish to 'borrow' and 'adapt' relevant segments to sensitise government stakeholders and facilitate HR workshops and relevant briefings within their individual MDAs.

The materials provided cover the following topics:

- 4B Overview of Key HRM Topics
- 4C Introduction to Professional HRM
- 4D Delivering Value Through HR - From Personnel to Professional HRM
- 4E Workforce Planning
- 4F Recruitment and Selection
- 4G Learning and Development
- 4H HRMIS , KPIs and Accountability
- 4I Career Development
- 4J Reward Management – Driving Performance
- 4K Employee Relations
- 4L Staff Welfare

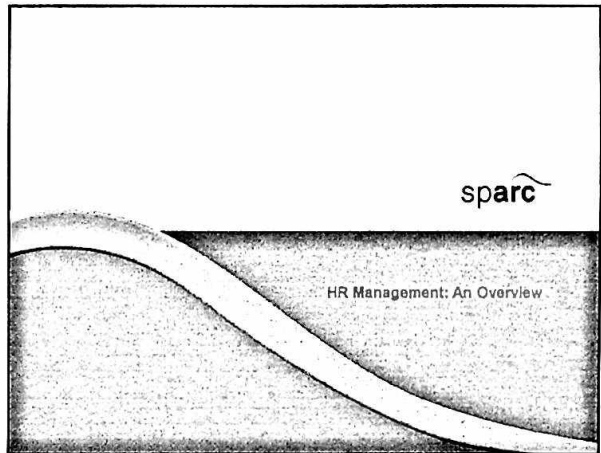


SPARC Agenda

1. HR Management: An Overview
2. Generic HR Roles
3. Job Analysis and Descriptions
4. Workforce Planning and Recruitment
5. Employee Selection
6. Training and Development
7. Performance Management
8. Career Management
9. Reward Management Systems
10. Legal Frameworks
11. Summary

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- SPARC Objectives
- By the end of this session, participants should be able to:
- Define human resources (HR)
  - Explain the basic differences between personnel and HRM
  - Understand what topics fall under the HR umbrella
  - Have a broad understanding of the concepts of HR best practice
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SPARC Human Resources

**Human resources = the strategic proactive approach to the management of people**

HR is aligned to the goals of an organisation and its future direction. It is concerned with longer term people issues, issues of structure, quality, culture, values, commitment and the matching of resources to future need

**Personnel = a series of reactive administrative tasks which enable the basic employment contract to be fulfilled**

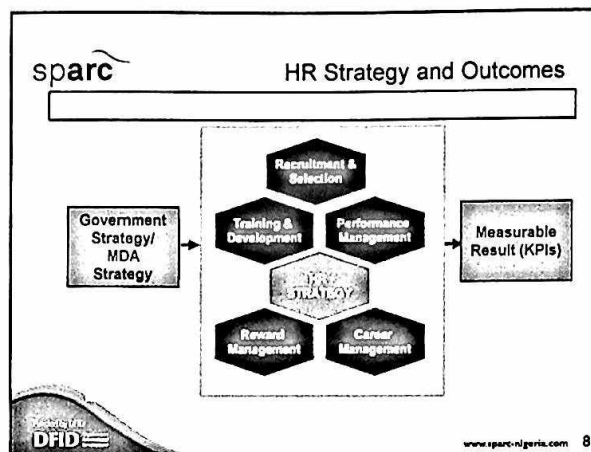
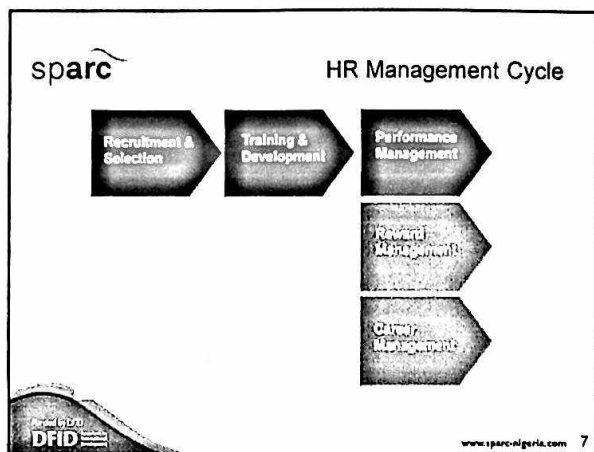
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SPARC Personnel v. HRM

	Personnel	HR
<b>Strategic Development Partner/ HR Strategist</b>		
• Strategic planning and policy		
• Management of change		
• Linking performance management with MDA strategy		✓
• Proactive		
• Long term		
<b>Employee Champion/HR Manager</b>		
• Management of employee welfare and development		✓
• People management		
<b>Administrative Expert/ HR Personnel</b>		
• Functional services		
• Operational services focused on maintenance	✓	✓
• Reactive		
• Short term/day-to-day activities		

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sparc Philosophy

HR best practice is based on the principle of *meritocracy* i.e.

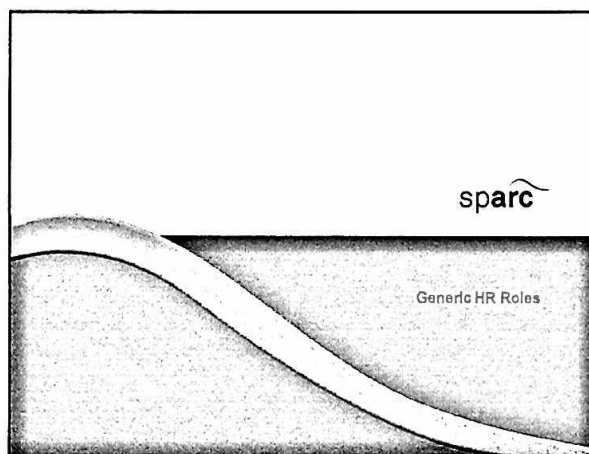
- you are recruited based on merit
- you are promoted based on merit
- you are trained based on merit
- you are given a high appraisal score based on merit
- you are rewarded based on merit
- your career is managed based on merit

Therefore the harder and smarter you work, the more successful you are likely to become.

This is a key workforce motivator.

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sparc HR Strategist – ‘Strategic Partners’

Role:

- To advise on HR strategies and policies
- To ensure that the HR function provides the support required to implement these strategies and policies
- To ensure the functions are operating to world class standards

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sparc HR Managers – ‘Employee Champions’

Role:

- To provide advice and cost effective HR services which enable the MDA to achieve its goals
- To provide advice and effective services which enable the MDA to meet its responsibilities to the people employed in the civil service

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**sparc** HR Personnel – 'Admin Experts'

**Role:**

- To provide personnel services (recruitment, appraisal, career management, general advice etc.) for all officers and junior personnel staff

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Job Analysis and Descriptions

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**sparc** Job Analysis

**Job analysis** = a method for understanding what is required in a particular role

This means thinking about not only the content of the job but also its **PURPOSE**.

The analysis is used to form the basis of a person specification and job description used for recruitment.

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**sparc** Person Specification

**Person specification** = describes the characteristics necessary to perform well in a particular role e.g.

- team player
- good written and oral communicator
- proactive
- ability to prioritise tasks
- works well under pressure
- organised
- hardworking
- excellent interpersonal skills

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**sparc** Job Description

**Job description** = describes the skills needed for someone to be able to do a specific job e.g.

- Degree in Social Sciences
- Masters in Human Resource Management
- 5 years working as an HR Manager
- International experience, preferred
- Management experience, essential
- Experience using Oracle/PeopleSoft

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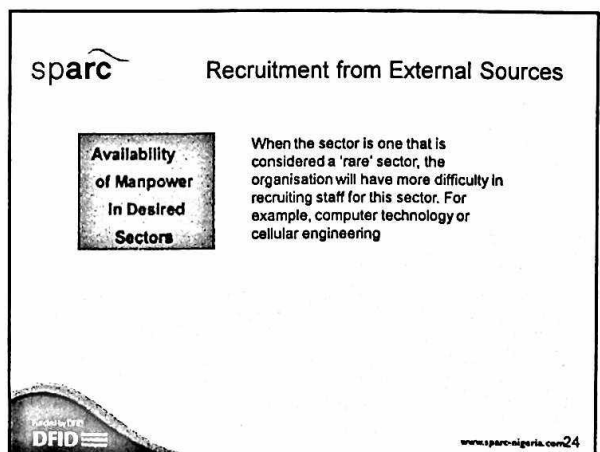
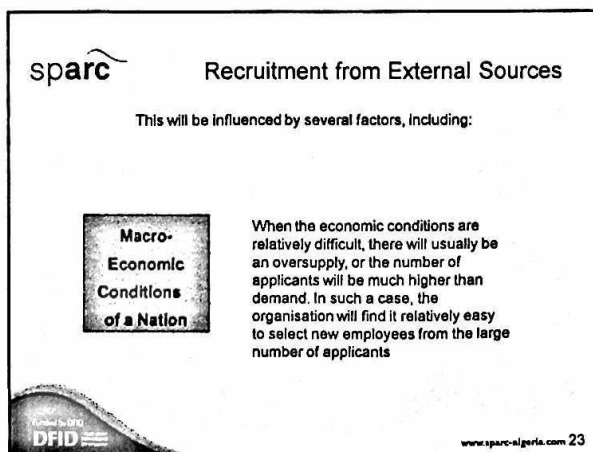
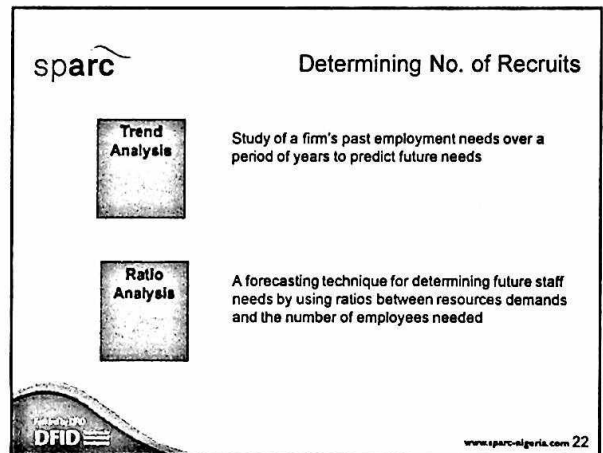
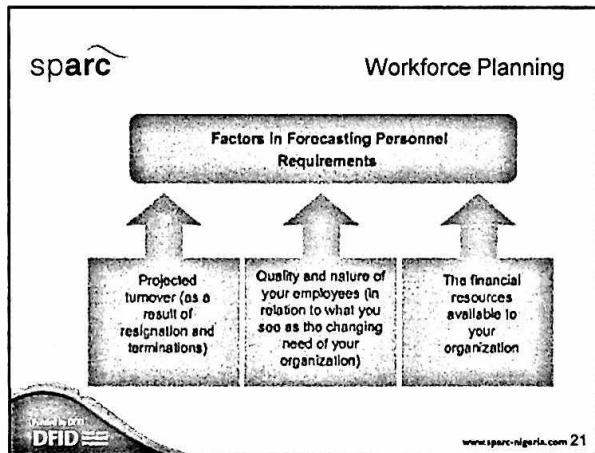
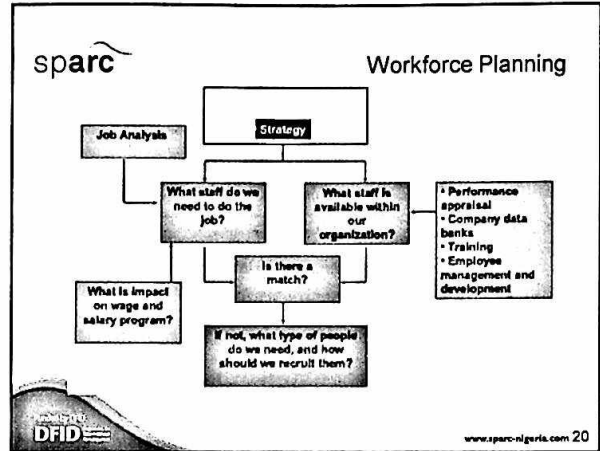
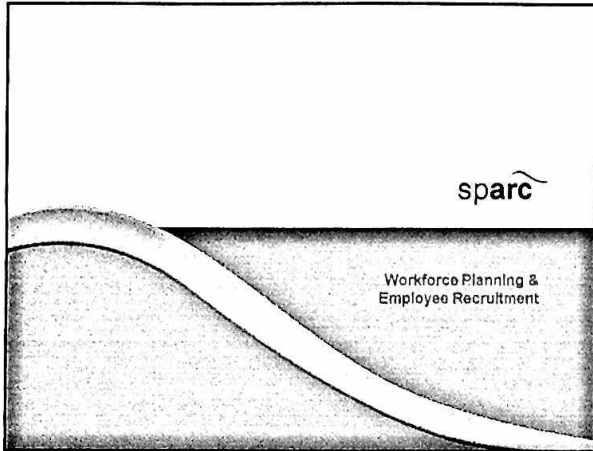
**sparc** Recruitment Process

```

    graph TD
      A[Job analysis (what is the job?)] --> B[Job description]
      A --> C[Person specification]
      B --> D[Attracting and managing applications]
      C --> D
      D --> E[Selecting candidates - shortlisting and assessment]
      E --> F[Making the appointment]
      F --> G[Joining the organisation/ induction]
  
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**sparc** Recruitment from External Sources

**Company Reputation**

It will tend to be easier for a organisation to find and recruit the best people if the organisation has a good reputation, therefore the best people will flock to apply to the organisation

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**sparc** Recruitment Sources

**Recruitment Sources**

- Advertising (newspaper, magazine, internet)
- College Recruitment
- Recruitment Agent (headhunter)

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Employee Selection

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**sparc** Basic Concept of Selection Tests

The quality of an employee selection test is determined by three main factors:

1. **Criterion Validity** – a type of validity based on showing that scores on the test are related to job performance
2. **Content Validity** – a test that is 'content' valid is one in which the test contains a fair sample of the tasks and skills actually needed for the job in question
3. **Reliability** – the consistency of scores obtained by the same person when retested with identical or equivalent test

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**sparc** Some Types of Selection Test

- Cognitive Ability Test
- Personality Test
- Interview

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**sparc** Cognitive Ability Tests

**Cognitive Ability Test** = paper and pencil test or assessment measure of an individual's mental ability or intelligence e.g. verbal reasoning or numerical test

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### Advantages of Cognitive Tests

- Highly reliable
- Verbal reasoning and numerical tests have shown high validity for a wide range of jobs
- The validity rises with the increasing complexity of the job
- May be administered in group settings so many applicants can be tested at the same time
- Scoring of the tests can be done with computer scanning equipment
- Lower cost than personality tests

### Disadvantages of Cognitive Tests

- Certain minorities may perform slightly lower than the majority, dependent on their upbringing/experiences
- Differences between males and females (e.g. mathematical ability) may negatively affect the scores of one gender (usually women)

### Personality Tests

**Personality Tests** = a selection procedure measure of the personality characteristics of applicants, related to future job performance

Personality tests typically measure 1 to 5 personality dimensions: extroversion, emotional stability, agreeableness, conscientiousness, and openness to experience

### Advantages of Personality Tests

- Can result in lower turnover if applicants are selected for traits that are highly correlated with employees who have high longevity within the organisation
- Can reveal more information about an applicant's abilities and interests
- Can identify interpersonal traits that may be needed for certain jobs

### Disadvantages of Personality Tests

- Difficult to measure personality traits that may not be well defined
- Responses may be biased by the applicant's desire to frame answers in a way they feel would improve their chances of selection
- Lack of evidence to support the validity of the use of personality tests

### Interviews

**Interviews** = a selection procedure designed to predict future job performance on the basis of the applicants' oral responses to questions posed

**sparc** Advantages of Interviews

- Useful for determining if the applicant has the necessary communication or social skills for the job
- Can assess the applicant's job knowledge
- Can be used for selection amongst equally qualified applicants
- Enables the supervisor and/or co-workers to determine if there is compatibility between the applicant and the employees
- Allows the applicant to ask questions which may reveal additional information useful for making a selection decision

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**sparc** Disadvantages of Interviews

- Subjective evaluations are made
- Decisions tend to be made within the first few minutes of the interview with the remainder used to validate or justify the original decision
- Interviewers form stereotypes concerning the characteristics required for a certain job
- Research has shown minorities again are disproportionately selected
- Negative information seems to be given more weight
- Not as reliable as tests

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Training and Development

**sparc** Training Process

Training Need Analysis	Training Objectives	Training Delivery	Training Evaluation
What are the training needs for this person and/or job?	Objective should be measurable and observable	Techniques include on-the-job-training, action learning, etc.	Measure reaction, learning, behavior, and results

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**sparc** Assessing Training Needs

<b>Task Analysis</b>	A detailed analysis of a job to identify the <i>skills</i> required, so that an appropriate training programme can be instituted
<b>Competency Analysis</b>	Careful study of <i>competency</i> level to identify a <i>deficiency</i> and then correct it with a training programme, or some other development intervention

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**sparc** Enhance Training Effectiveness

Make the material meaningful	➔	Training Effectiveness
Provide for transfer to learning		
Motivate the trainee		

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**sparc** Enhance Training Effectiveness

**Make the material meaningful**

- At the start of training, provide the trainees with a bird's-eye view of the material to be presented. Knowing the overall picture facilitates learning
- Use a variety of familiar examples when presenting material
- Organise the material so that it is presented in a logical manner and meaningful units
- Try to use terms and concepts that are already familiar to trainees
- Use as many visual aids as possible

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**sparc** Enhance Training Effectiveness

**Provide for transfer to learning**

- Maximise similarity between the training situation and the work situation
- Provide adequate training practice
- Identify each feature of the step in the process

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**sparc** Enhance Training Effectiveness

**Motivate the trainee**

- People learn best by doing. Try to provide as much realistic practice as possible
- Trainees learn best when correct responses on their part are immediately reinforced
- Trainees learn best when they learn at their own pace. If possible, let trainees pace themselves

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**sparc** Type of Training Programme

**OFF THE JOB**

<b>Formal course</b>	<ul style="list-style-type: none"> <li>• Does not interfere with job</li> <li>• Provides for fact learning</li> </ul>
<b>Simulation</b>	<ul style="list-style-type: none"> <li>• Helps transfer of learning</li> <li>• Creates lifelike situations</li> </ul>
<b>Wilderness Trip</b>	<ul style="list-style-type: none"> <li>• Builds teams</li> <li>• Builds self-esteem</li> </ul>

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**sparc** Type of Training Programme

**ON THE JOB**

<b>Job instruction training</b>	<ul style="list-style-type: none"> <li>• Facilitates transfer of learning</li> <li>• Does not require separate facilities</li> </ul>
<b>Apprenticeship training</b>	<ul style="list-style-type: none"> <li>• Does not interfere with real job performance</li> <li>• Provides extensive training</li> </ul>
<b>Job rotation</b>	<ul style="list-style-type: none"> <li>• Gives exposure to many jobs</li> <li>• Allows real learning</li> </ul>
<b>Mentoring</b>	<ul style="list-style-type: none"> <li>• Is informal</li> <li>• Is integrated into job</li> </ul>

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**sparc** Evaluation of Training Effectiveness

**Four Levels of Training Effectiveness**

- Level 1 - Reaction
- Level 2 - Learning
- Level 3 - Behavior Application
- Level 4 - Business Impact

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**sparc** Evaluation of Training Effectiveness

**Level 1 - Reaction** Evaluate trainees' reactions to the programme. Did they like it? Did they think it worthwhile?

**Level 2 - Learning** Test the trainees to determine if they learned the principles, skills and facts they needed to learn

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**sparc** Evaluation of Training Effectiveness

**Level 3 - Behavior Application** Ask whether the trainees' behaviour on the job changed because of the training programme

**Level 4 - Business Impact** What final results were achieved in terms of the training objectives previously set?

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Employee Performance Management

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**sparc** Why Appraise People?

- Appraisals provide information upon which promotion and salary decisions can be made
- Appraisals provide an opportunity for a manager and his/her subordinate to sit down and review the subordinate's work-related behaviour, and then develop a plan for corrective action
- Appraisals provide a good opportunity to review the officer's career plans in light of his/her shown strengths and weaknesses

Types of appraisal:

- Self-appraisal
- Downward appraisal
- Upward appraisal
- 360 appraisal

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**sparc** Performance Management Cycle

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**sparc** Performance Management Cycle

**Defining Performance Standards/Targets** Defining the performance standards means making sure that you and your subordinate agree on his/her duties and targets that you expect

**Appraising Performance** Appraising performance means comparing your subordinate's actual performance to the standard/targets set

**Providing Feedback for Development** Providing feedback means discussing plans for any development that is required

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sparc Problems with Performance Appraisals

**Common Performance Evaluation Problems**

- Lack of standards
- Poor feedback to employee
- Poor measures of performance
- Irrelevant or subjective standards
- Negative communication
- Failure to apply evaluation data

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sparc Bias in the Appraisal Process

**Halo Effect**  
The 'halo' effect occurs when a supervisor's rating of a subordinate on one trait biases the rating of that person on other traits. Opposite of 'horn' effect

**Central Tendency**  
A tendency to rate all employees the same way, such as rating them all average

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sparc Bias in the Appraisal Process

**Leniency**  
The problem that occurs when a supervisor has the tendency to rate all subordinates unjustifiably high, undermining the value of the scores

**Bias**  
The tendency to allow individual differences such as age, race and sex to affect the appraisal ratings that employees receive

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sparc Performance Appraisal Element

Performance appraisal elements have two main categories:

- 1. Competencies:** It represents soft or qualitative aspects of performance (*process*)
- 2. Performance Result:** Hard or quantitative aspects of performance (*result*)

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sparc Performance Appraisal Element

**1. Competencies Score**

**2. Performance Result Score**

**Overall Score**

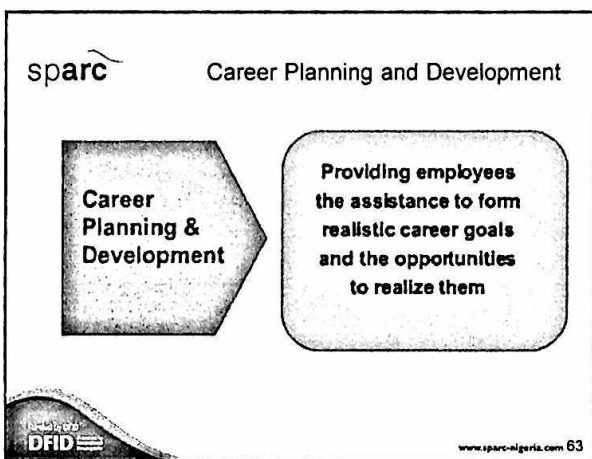
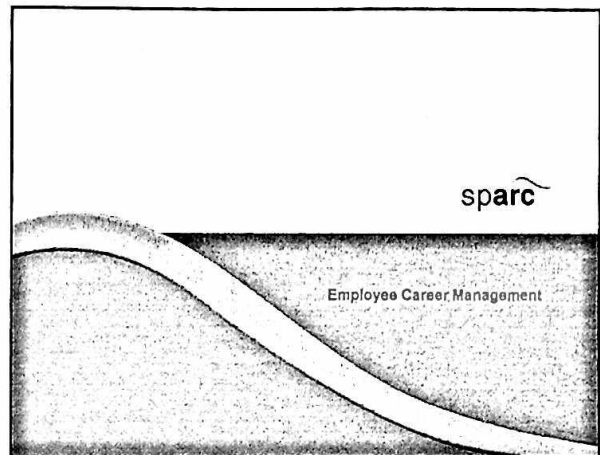
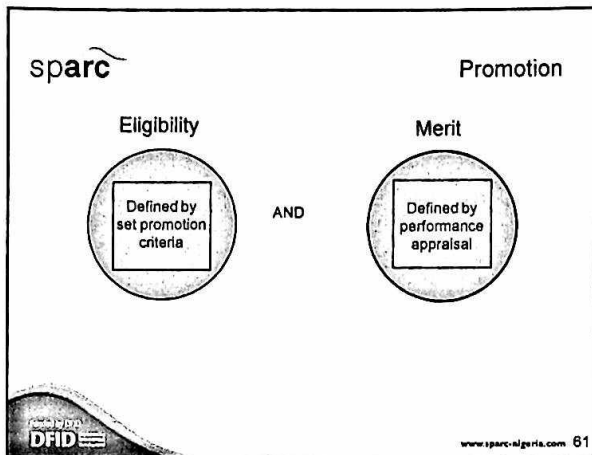
Will determine the employee's career movement, and also the reward to be awarded

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sparc Appraisal Meeting

- Value is in the feedback conversation!
- Assessment of past performance:
  - Measurement of last year's performance against specific, individual objectives
  - Feedback given on strengths and development areas, including what could have been done differently
- Assessment against competencies
- Setting of future objectives:
  - agreement of individual objectives for next 12 months
  - these should build on development areas highlighted

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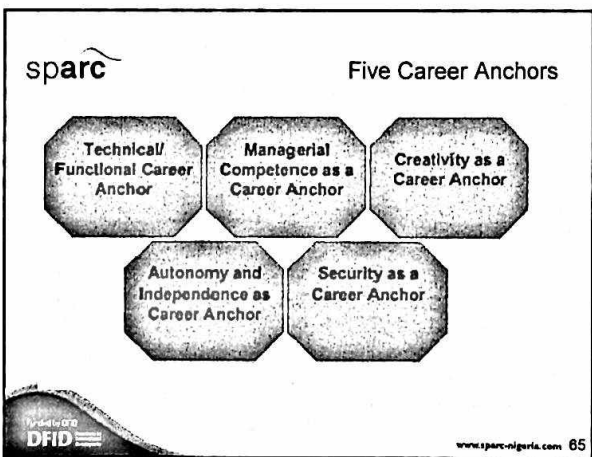
sparc Career Anchors

Career anchor = a concern or value that someone will not give up if a choice has to be made

Career anchors, as their name implies, are the pivots around which a person's career swings. A person becomes conscious of them as a result of learning about his or her talents and abilities

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sparc Five Career Anchors

Technical/Functional Career Anchor


- People who have a strong technical/functional career anchor tend to avoid decisions that would drive them toward general management
- Instead, they make decisions that will enable them to remain and grow in their chosen technical or function field

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### Five Career Anchors



**Managerial Competence**


- People who show strong motivation to become managers
- Their career experience enables them to believe that they have the skills and values necessary to rise to such general management positions

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### Five Career Anchors



**Creativity**


- People who go on to become successful entrepreneurs
- These people seem to have a need to build or create something that is entirely their own product – a product or process that bears their name, a company of their own, or a personal fortune that reflects their accomplishments

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### Five Career Anchors



**Autonomy and Independence**


- People who are driven by the need to be on their own, free from the dependence that can arise when a person elects to work in a large organisation
- Some of these people decide to become consultants, working either alone or as part of a relatively small firm. Others choose to become professors, freelance writers or proprietors of a small retail business

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### Five Career Anchors



**Security**

- People who are mostly concerned with long-running career stability and job security
- They seem willing to do what is required to maintain job security, a decent income and a stable future in the form of a good retirement programme and benefits

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### Reward Management Systems

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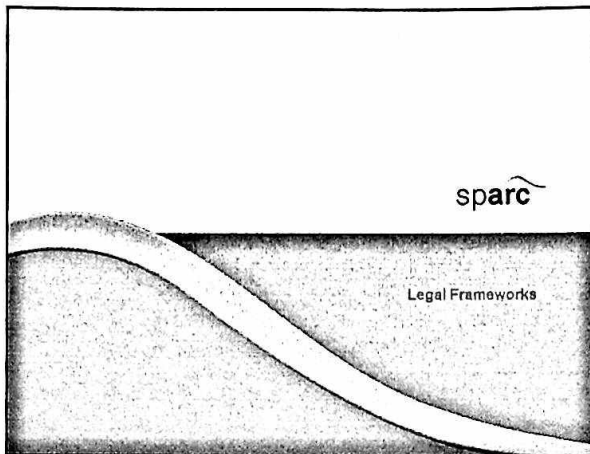
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### Reward Systems

- The system of pay and benefits used by an organisation to reward workers
- Money not the only method!
- Salary
- Benefits
- Allowances
- Awards
- Promotion
- Pensions
- Health insurance
- Flexibility at work
- Holidays
- Working hours etc.

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### Employment Contracts

- The Labour Act ("The Labour Law") (1971) states that every employer must give to each of its employees a written contract within three months of the employer starting work
- The contract must specify the particulars of the employer and the employee, the position and job description/functions, other terms and conditions of the contract
- Following the implementation of the Pension Reforms Act and the National Health Insurance Scheme these details are also normally now included in the contract
- In addition to the contract of employment, most organisations also ensure that they have a detailed Staff Handbook which gives fuller details on other matters necessary for high efficiency and harmony in the employer/employee relationship

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### Trade Union Membership

- It is unlawful for an employment contract to require or to restrain an employee from joining a Trade Union
- Employees' contracts cannot be terminated by reason of the employee joining a Trade Union

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### Collective Agreements

- Many organisations usually enter into collective agreements with their employees through Trade Unions
- The objective of a collective agreement is to maintain industrial harmony
- The Nigerian Supreme Court has however held in a number of its judgements that collective agreements are only enforceable when the terms and conditions of the collective agreement are incorporated into each and every employee's contract of employment

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### Annual Leave

- Nigerian Employment Law requires that every employee in Nigeria, who has been in the employment for a continuous period of twelve months, is entitled to a holiday with full pay of at least six working days
- The Law recognises it may be necessary for an employer and its employee to, by mutual consent, defer an employee's annual holiday but this holiday must still be taken with pay
- Deferment of annual holidays is on the condition that the cumulative holiday is not deferred beyond a twenty-four month period
- It is unlawful under Nigerian Law for an employer to encourage its employee or for the employee to elect to be paid a "special" holiday allowance in order for the employee not to go for the annual holiday

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### Maternity Leave

- A pregnant woman is entitled to Maternity Leave of at least six weeks before the delivery of her child and six weeks after the delivery of the child
- A pregnant woman is also entitled to 50% of her normal wage while on maternity leave
- Where the woman, for medical reasons, exceeds the period allowed, she cannot be dismissed if she produces a Medical Certificate informing the employer of her medical condition
- Nursing mothers in employment are entitled to half an hour, twice daily, to nurse and feed their infant

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sparc Non Return to Work After Leave of Absence

- Where an employee does not return to work after his permitted holiday, it must be implied that the employee has by his conduct repudiated his employment contract
- The Nigerian Supreme Court has decided that in serious cases, if an employee exceeds the period of his study leave or annual holidays without the consent of his employer, this behaviour can amount to gross misconduct and the employer is entitled to either terminate or dismiss the employee

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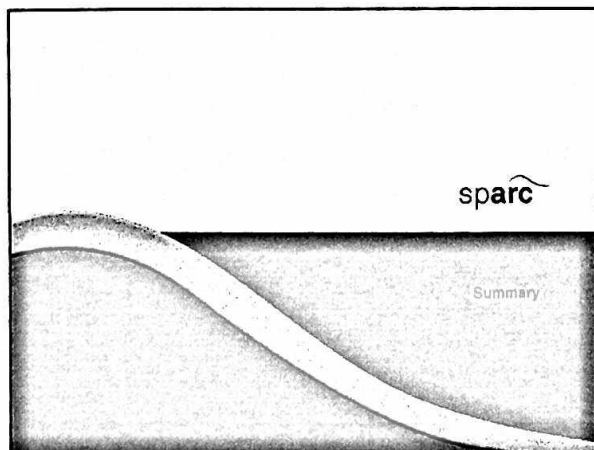
- Redundancy is the involuntary and permanent loss of employment caused by excess manpower
- Jobs not people
- Nigerian Employment Law recommends the principle of 'last in, first out' to be adopted by an employer subject to factors such as relative merit, skill, ability and reliability

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sparc Workmen Compensation Act

- The Workmen Compensation Act ("The Workmen Compensation Law") provides a mechanism for the payment of compensation to employees who sustain injuries in the cause of their employment
- An employer is not liable where:
  - the injury does not incapacitate the workman for a period exceeding 3 days
  - where the injury is directly attributable to the negligence or misconduct of the workman
  - where a false representation is made

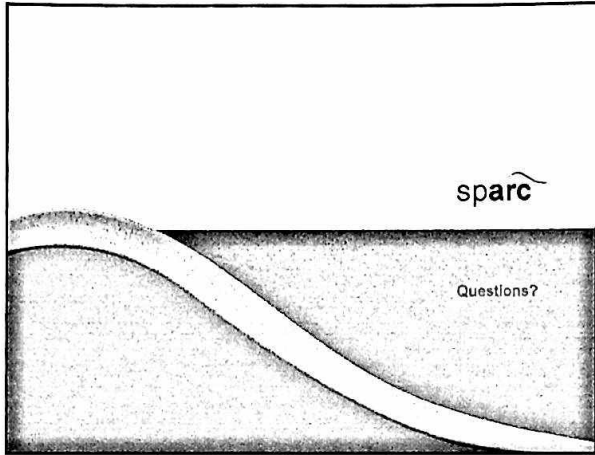
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sparc Issues with Legal Framework

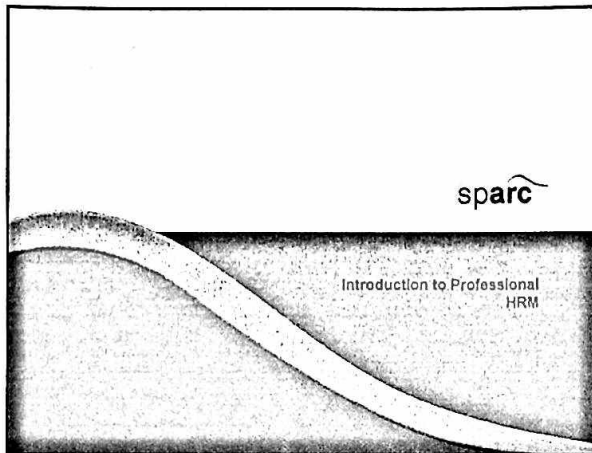
- Limited regulation (Ministry of Labour)
- Small fines/penalties for non-compliance
- Officers in the public sector are offered greater employment protection (through the Civil Service Rules) than those in the private sector, well over and above the statutory national legal framework



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- What do we mean by human resources?
- How is Professional HRM different from personnel?
- What topics/areas fall under the HR umbrella?
- What is the overarching philosophy of HR best practice?





SPARC **Expected Outcomes**

By the end of today, participants should...

1. Understand the state's vision and why it has resulted in the need to introduce professional human resources management (HRM)
2. Understand the concept of professional human resources (HR) and how this differs from personnel administration
3. Be able to identify core HR functions, to be tested in their MDA
4. Be able to describe the required linkages between government, MDA and HR strategy
5. Appreciate the advantages and opportunities of having a professional HR career in the state
6. Be able to describe the differences between the key HR strategist, HR manager and HR personnel roles
7. Be able to articulate to others why the creation of new, formalised professional HRM duty posts is worthwhile

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**NEED FOR PROFESSIONAL HRM**

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SPARC **From Personnel to Professional HRM**

**Need for Change**

- Improved service delivery to the public
- Difficult for generalist model to deliver the more complex and ambitious vision, mission and goals of government
- Present HR systems and structures are not formalised
- Weak linkages between state government, MDA and HR strategy
- Need for HR practitioners with intimate knowledge of all departments in their MDA to act as strategic partners

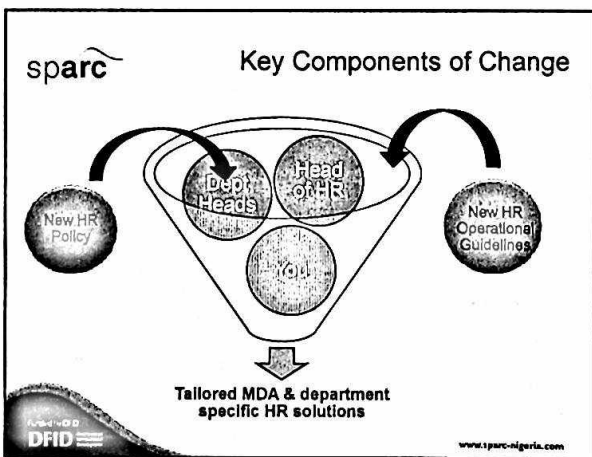
**Goals of Change**

- MDAs will acquire, develop, and retain higher performing officers
- Staff will be better able to respond to CS needs, and more motivated to do so
- Concept of meritocracy will be reinforced
- Individual MDAs will be able to facilitate change and developing agenda of state government
- There will be a link between people management and the strategic objectives of state government
- HR officers will be able to provide professional, specialist advice on particular areas
- Each MDA will be better able to anticipate the future needs of the state and its component parts
- Greater accountability and stronger management

Personnel will continue to play a huge role in building a government that delivers today, but HRM will play a new role in developing a government that is always fit for the future.

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SPARC **Key Critical Success Factors**

- Able to embrace change without fear
- Full commitment to this process
- Able to influence, lead, manage and coach others
- Want to work in partnership to challenge the status quo
- Able to manage upwards
- Progressive and holistic thinker
- Understand government values and an appreciation of what makes your MDA successful
- Desire to find solutions to tomorrow's problems
- Ownership and accountability to your assigned roles and responsibilities
- HRM knowledge and skills

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## DEFINING HRM

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## Personnel v Professional HRM

Human Resources Management (HRM) = The *strategic, proactive approach* to the management of people.

A coherent, tailored, end-to-end approach to HR functions with information held on individuals focusing on skills, knowledge, abilities and talents with a view to ongoing development and improvement.

Personnel = A series of *reactive administrative tasks* which enable the employment contract to be fulfilled.

HR functions are treated in isolation and information held on individuals is factual rather than developmental.

HRM DOES NOT REPLACE Personnel but ADDS to this critical foundation

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## Personnel v Professional HRM

Personnel	Professional HRM
<ul style="list-style-type: none"> <li>Support Service</li> <li>Administrators</li> <li>Generalist skills</li> <li>Management of officers as per T&amp;Cs of employment contract</li> <li>Tactical</li> <li>Process driven</li> <li>Short term</li> <li>Task based</li> <li>Isolated HR functions</li> <li>Directive driven</li> <li>"We've always done it this way"</li> <li>Service wide HR only</li> </ul>	<ul style="list-style-type: none"> <li>'Strategic Partner'</li> <li>Practitioners</li> <li>Specialist skills</li> <li>Management of officers' skills, abilities, knowledge, talents</li> <li>Sustainable</li> <li>Insight driven</li> <li>Long term</li> <li>Performance accountability</li> <li>Joined up HR functions</li> <li>Proactive</li> <li>Change agent</li> <li>Service-wide HR AND, tailored, department specific HR solutions</li> </ul>

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## Generalists v Specialists

Rate of Efficiency

Today we are here

Gov't Vision

Specialist (Professional HRM)

Generalist (Personnel)

Time

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## STRATEGIC HRM

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## Joined-up HR Functions

Government Strategy/ MDA Strategy

Recruitment & Selection

Training & Development

Performance Management

HR STRATEGY

Reward Management

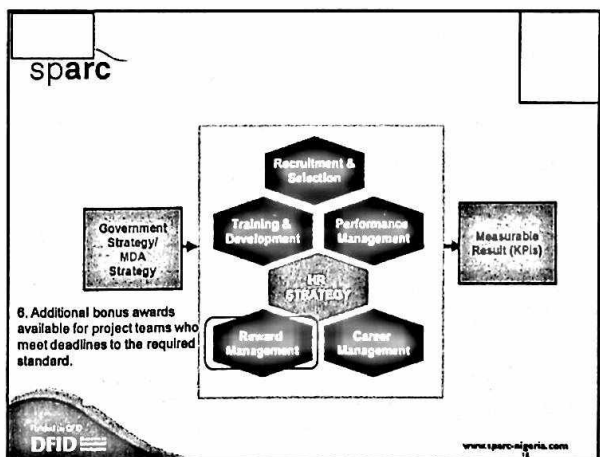
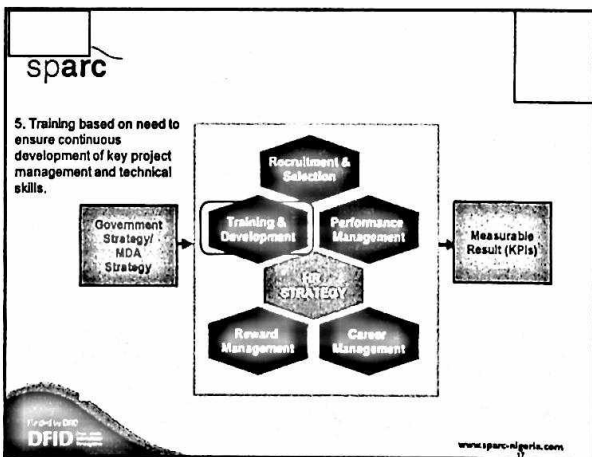
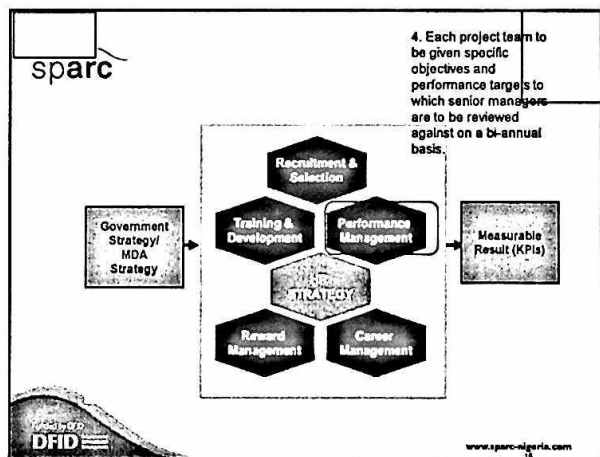
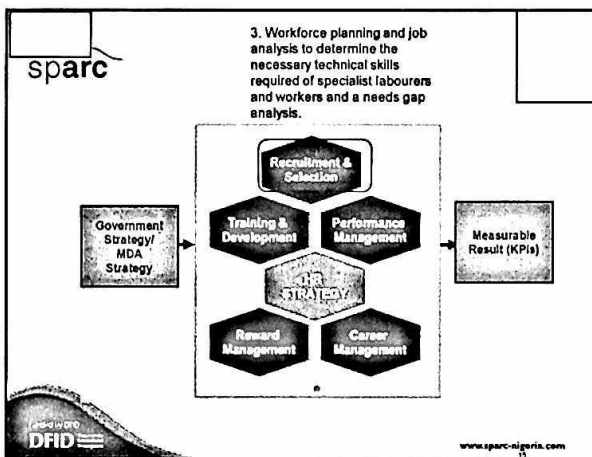
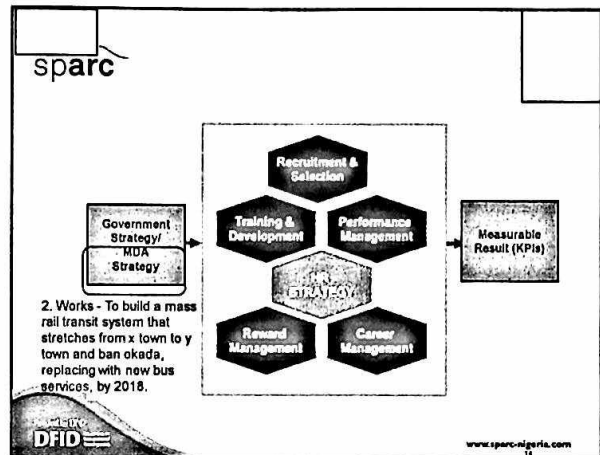
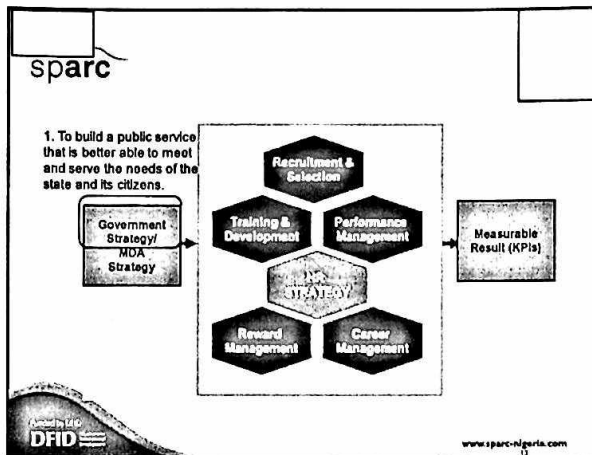
Career Management

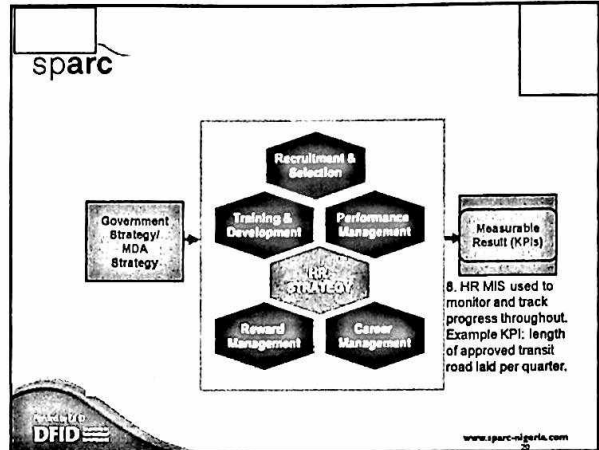
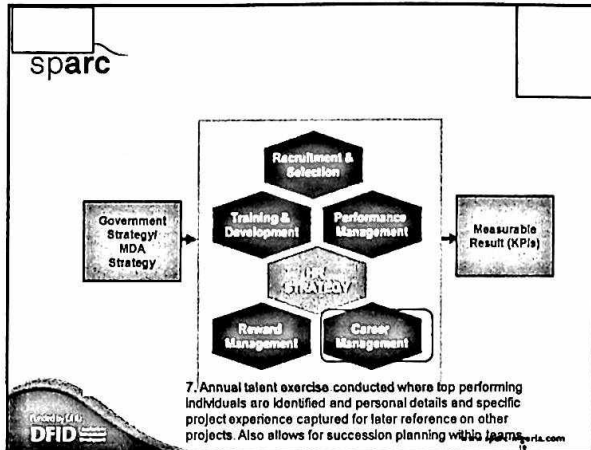
Measurable Result (KPIs)

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# JOURNEY MAP

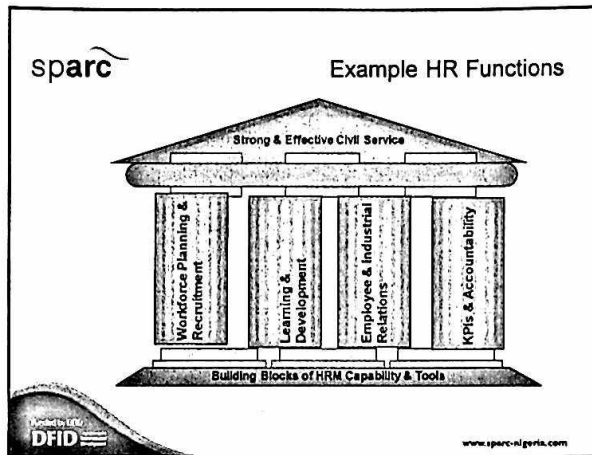
### Current State to Future State

Function	As Is	Could Be	Benefits
HR Framework	•Service-wide HR only	•Additional MDA and department specific HR activities	•Proactive identification of HR issues and tailored HR solutions to support individual MDA agendas
HR Strategy	•Generic PS Rules means heavy reliance on reactive directives	•Strategic and holistic approach to end-to-end HR functions	•Clearly defined, MDA specific HR strategies
HR MIS	•Not all data required for effective HR planning available	•Automation of HR processes •Development of KPIs	•Accurate and easily accessible data available when needed
Accountability	•Schemes of Service	•Job descriptions for individual roles in specific MDAs	•Precise requirements so officers can be held to account
Workforce Planning	•Establishment planning	•Workforce planning	•Right people, in the right place, at right time

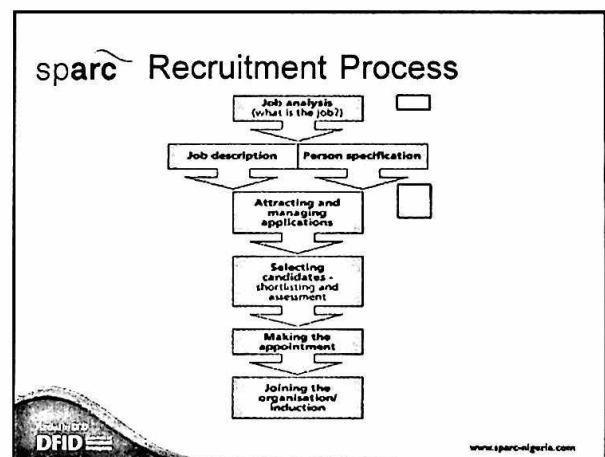
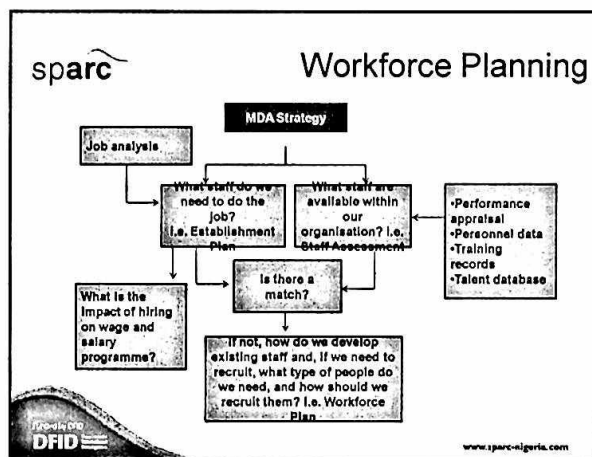
### Current State to Future State

Function	As Is	Could Be	Benefits
Recruitment	•Not targeted •Focus on replacement of existing positions •Reactive and budget driven	•Recruit to specific role, use of detailed job descriptions •Strategic and integrated	•Recruitment based on filling identified skills gaps, meaning people joining service will make a genuine contribution to their MDA
Deployment	•Based on cadre and grade level rather than on skills/knowledge gaps	•Strategic and linked to succession planning	•Structured career development for the individual and continuity for the MDA
Appraisal	•Form filling exercise	•Normalisation •SMART objectives	•Objective assessment and focus on development
Promotion	•Based on tenure	•Based on tenure AND merit	•Right people rewarded for good performance
Training	•No formal TNA	•Training based on need	•Meaningful and structured capacity building

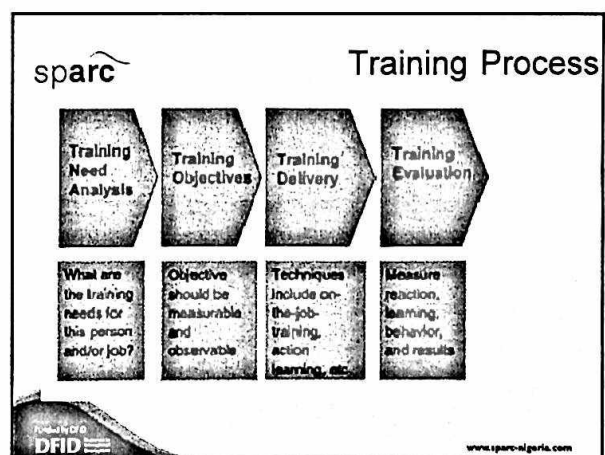
# EXAMPLE HR FUNCTIONS

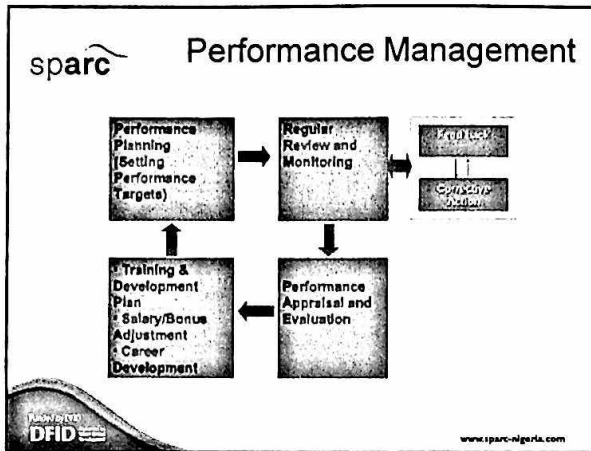


- sparc Workforce Planning & Recruitment
- Example Duties:
- Job evaluation
  - Job classification
  - Workforce planning
  - Recruitment
  - Selection
  - Appointment
  - Interns/NYSC
  - Induction
  - Deployment
  - Transfers
  - Workforce Planning & Recruitment Secretariat
  - Workforce Planning & Recruitment policy and process
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- sparc Learning & Development
- Example Duties:
- Appraisal
  - Promotion
  - Advancement
  - Conversion
  - Career development
  - Career planning
  - Training
  - Talent management
  - Learning and Development Secretariat
  - Learning and Development policy and process
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- sparc Employee & Industrial Relations
- Example Duties:
- Appeals
  - Discipline
  - Grievance
  - Whistleblowing
  - Sickness and medical
  - Leave
  - Industrial relations
  - Health and safety
  - Workplace assessments
  - Employee & Industrial Relations Secretariat
  - Employee & Industrial Relations policy and process
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- sparc Protection
- Employment law e.g.
- 1971 Labour Act
  - Trade Union membership
  - Collective agreements
  - Annual leave
  - Non-return to work after leave of absence
  - Redundancy
  - Workmen Compensation Act
- CS Rules offer enhanced employment protection and benefits.
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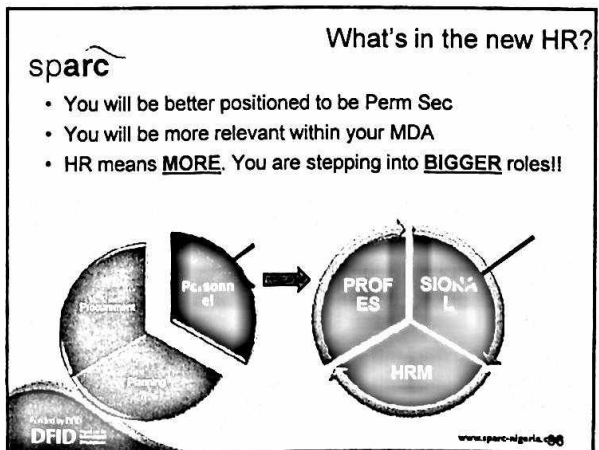
- sparc KPIs & Accountability
- Example Duties:
- Leavers
  - Pensions
  - Payroll
  - Salary reviews
  - Benefits/Insurance
  - Gender and social inclusion
  - HR MIS/Registry
  - Key Performance Indicators (KPIs)
  - Reporting
  - Monitoring and evaluation
  - Perception surveys
  - KPIs & Accountability Secretariat
  - KPIs & Accountability policy and process
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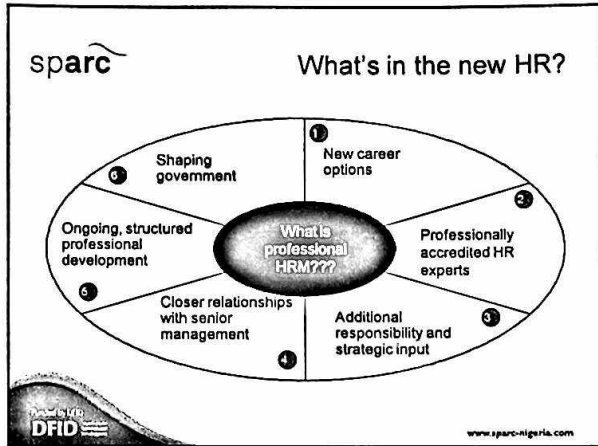
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CAREER CONSIDERATIONS

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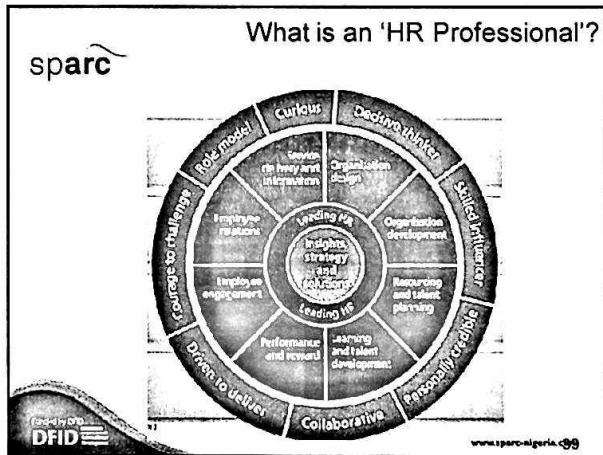




sparc What are my career options?

Career Option	Example
<input type="checkbox"/> Develop further within your existing role or specialist area in your MDA	Stay in 'Workforce Planning & Recruitment'
<input type="checkbox"/> Move into another HR specialist area within your MDA to gain broader experience or tackle something different	Move from 'Workforce Planning & Recruitment' to 'Learning & Development'
<input type="checkbox"/> Move to a bigger role or gain promotion	From 'HR Manager GL12' to 'HR Manager GL13'
<input type="checkbox"/> Move to another MDA to learn how HR is done differently elsewhere	From 'Office of Works' to 'Education District 1'

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- sparc What about career support?
- Your manager will be your first port of call for support and advice
  - Within your MDA, there will be a talent management plan in place to help you develop as an HR professional and actively seek opportunities to grow as a future leader
  - You are encouraged to work in a *variety* of specialist HR areas and MDAs to help you build experience and transfer learning to others
  - This will be reinforced through formal HR promotion criteria to ensure HR professionals reach their fullest potential
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- sparc HR Role Models in Nigeria
- Jubril Saba – Director HR (Airtel Networks)
    - 1<sup>st</sup> Degree in Electrical & Electronics Engineering
    - Started career as a call centre Agent
  - Folake Adeniyi Adeleke - Regional HR Head, West & Central Africa (Microsoft)
    - 1st Degree in Microbiology
    - Started career as a Laboratory Administrator
  - Grace Omo-Lamai – Director HR (Nigerian Bottling Company Ltd)
    - 1st Degree in French
    - Started career as Administrator
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## QUESTIONS AND ANSWERS

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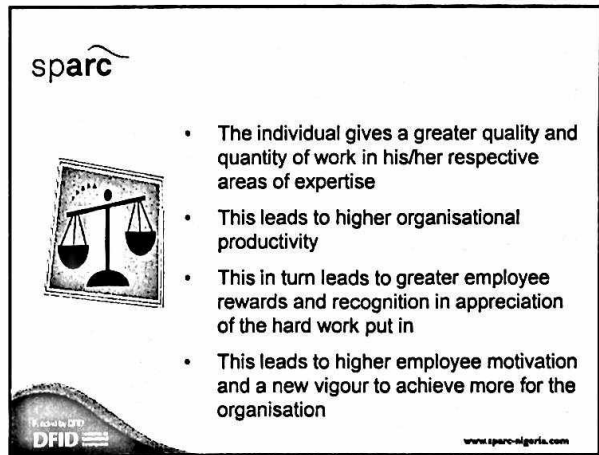
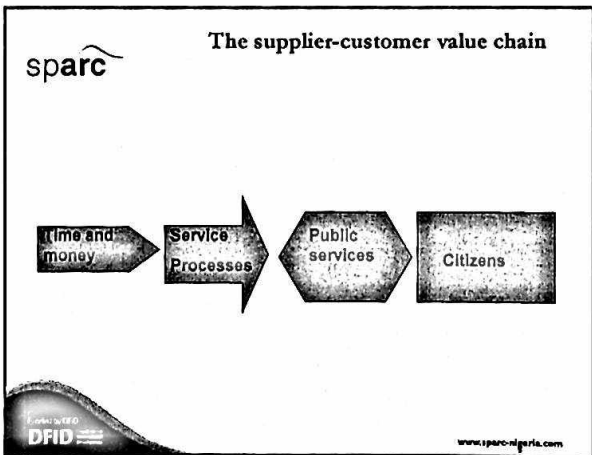
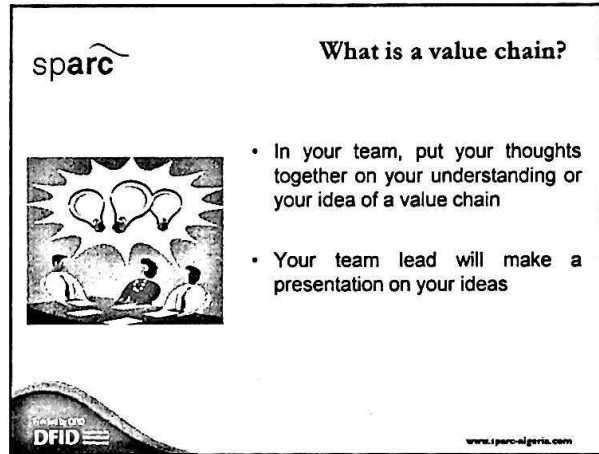
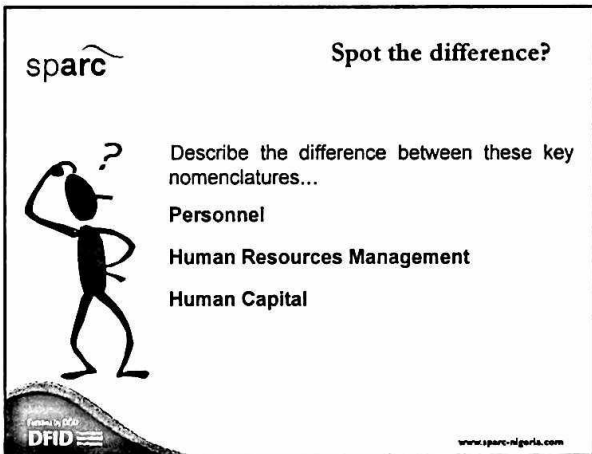
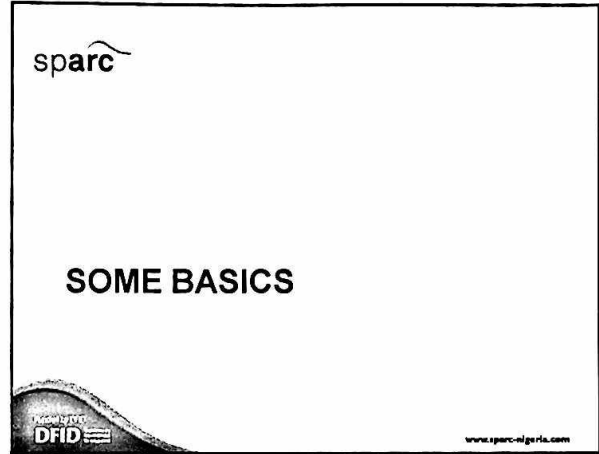
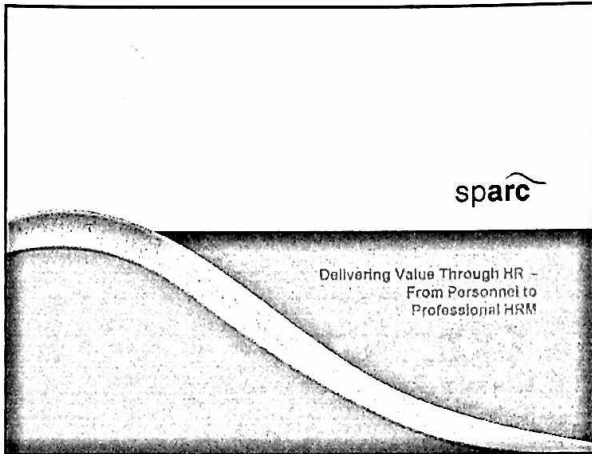
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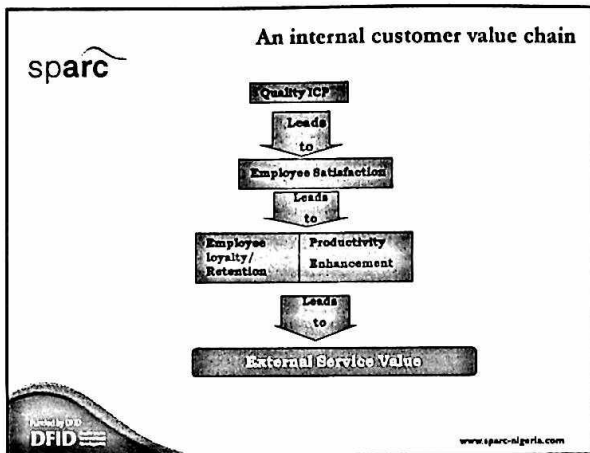
## Summary

- Professional HRM goes beyond but does not replace personnel administration
- Desire to create new specialist HR departments and HR duty posts in the state
- Generic HR Committee proposals to be tested and developed
- HRM is about bigger, not smaller, roles
- All admin cadre officers will be eligible for new professional HRM duty posts
- Transition to professional HRM to be carefully managed

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What is an HR Value Proposition?

- HR professionals add value when their work helps someone reach their goals
- It is not the design of a programme or declaration of policy that matters
- It is what recipients gain from these actions

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What is an HR Value Proposition Cont'd?

- In a world of increasingly scarce resources, activities that fail to add value are not worth pursuing
- Unfortunately, in some organisations, HR is still not seen as an occupational group that delivers value to key stakeholders

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What is an HR Value Proposition Cont'd?

"HR practices, departments, and professionals must produce positive outcomes for key stakeholders – employees, line managers, elected representatives and citizens."

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Value...

They must shape behaviour and create stakeholder VALUE

Please remember...

Value is defined by the RECEIVER, not the giver.

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Strategic Imperatives


Human resources does not begin with HR – it begins with the organisation's purpose and objectives

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**Strategic Imperatives**




The ultimate receivers of business are the citizens that the government serves


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**Strategic Imperatives**




HR should be framed as a source of competitive advantage

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**Strategic Imperatives**



HR professionals must align practices with the requirements of internal & external stakeholders

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**Strategic Imperatives**




HR professionals must acquire the knowledge & skills necessary to link HR activity to stakeholder value


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**Strategic Imperatives**




HR professionals should view government's key stakeholders from a unique & powerful perspective

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**Need to Measure People and Impact**



- Critical success factors/areas
- Key performance indicators
- Service level reviews
- Customer surveys
- Employee attitude surveys
- Process mapping/activity analysis
- Audits/reviews (incl... quality)
- Scorecards
- Benchmarking

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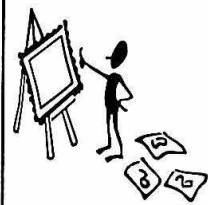
**HR AS THE STRATEGIC PARTNER**

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**My Assignment**



Understanding the concept of HR partnering

The 'business' case for HR partnering


Profile of an effective HR partnership

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**Putting it in Context...**



**HR's NEW MANDATE**  
(strategic business partners)

This concept was launched with funfair and wide acceptability in 1997.


15 years on...

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**Team Brainstorming**



**HR Partnering...**


- In your team in the next 20 minutes – what in your opinion do you think brought about the concept of HR partnering?
- A new mandate? Why? And how new?
- Your team lead to present.

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**A Definition**




HR partnering - It is the designing and institutionalising of HR systems and processes that address strategic business issues

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**Why Strategic Partnering?**



Today's HR function needs to be much more business-focused; i.e. being more customer-focused; cost efficient; innovative & structured in such a way that it can quickly respond to changing priorities

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### Why Strategic Partnering Cont'd?

- Globalisation
- Technology
- Intellectual capital
- Rapid change



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### Deliverables and Do-Ables

- Assisting HR professionals to integrate more thoroughly into the corporate process of MDAs and to align our day-to-day work with service delivery outcomes
- It means focusing more on deliverables: what the government requires to WIN
- As against do-ables: What HR activities we did or do

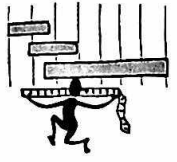
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### Then v. Now

- It used to be fashionable – 'how many leaders received 40 hours of training' – No!
- Measure results – the impact of the training on corporate performance
- This attitude showcases our role in the creation and maintenance of capabilities that an organisation must have to deliver value to all stakeholders



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### Then v. Now

- **Cost efficiency:** Through shared services; ratio 1:100; etc
- **Accelerating competition:** Ability to deliver skilled, motivated, flexible and committed staff. Innovative world-class HR a necessity
- **Rising expectations of HR:** Organisations expect more from HR on execution of strategy and business plans. The answer is the appointment of strategic HR partners

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## FRAMEWORKS AND PRACTICE

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### Professional HRM Model

Key expertise:	What it means
<b>Strategic Partner</b>	<ul style="list-style-type: none"> <li>• Aligning HR and business strategy: 'organisational diagnosis'</li> </ul>
<b>Administrative Expert</b>	<ul style="list-style-type: none"> <li>• Re-engineering organisation processes: 'shared services'</li> </ul>

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**sparc** Professional HRM Model

<b>Key expertise:</b>	<b>What it means</b>
<b>Employee Champion &amp; Advocacy</b>	Listening and responding to employees Employee engagement
<b>Change Agent/OD</b>	Managing transformation and change, ensuring capacity for change; and managing diversity and inclusiveness

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**sparc** Team Brainstorming



In your team, design a business case for HR strategic partnering in your organisation  
Do a brief cost-benefit analysis  
What are the strategic advantages?

Time allowed: 20 minutes  
Team rep to present in 3 minutes

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**sparc** HR Strategic Partner's Key Skills/Competencies


To have a working knowledge of the

**4**

key competencies

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**sparc** HR Strategic Partner's Key Skills/Competencies



Relatively enduring characteristic of a person enabling superior performance in a job

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**sparc** HR Strategic Partner's Key Skills/Competencies

**Knowledge:** Information acquired through education, 'googling', schooling, etc and actually used on the job

**Skills:** Acquired through practice and experience

**Abilities:** Inherent capacity to acquire skill and knowledge

**Personality or work style:** Preferred style of behaving


**Motivation:** What's driving you. Your current thought that drives behaviour

**Attitude:** The behaviour in all its ramifications

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**sparc** HR Strategic Partner's Key Skills/Competencies

1. A knowledge of self – people skill, HR inclined
2. Strategic thinker
3. Consultancy skills
4. Customer Relationship Management
5. Networking
6. Business & financial understanding
7. Change management
8. Influencing skills
9. 'Political' awareness
10. Personal development
11. Employee engagement
12. A bias for execution (result-oriented action)



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**sparc** **Operating Models**

There are variations in operations:

- Shared services
- Centres of excellence
- Strategic business partners:
  - Organisational & people capability building
  - Longer term resource & talent management planning
  - Driving change in people management using business insight
  - Intelligence gathering internally & externally to guide Executives

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**sparc** **HR Service Delivery Model**

• Credible HR professionals who have the right skills/competencies  
• Faster and more efficient service delivery

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**sparc** **Engaging People for Superior Performance**

Engaging your workforce drives performance. Engagement level is directly proportional to performance level

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**sparc** **Links to the Bottom Line**

**Engaged employees:**

- lower turnover
- higher levels of performance
- advocates of the business
- better change management

(G. Robertson-Smith and C. Mackerick, *Employee Engagement: a review of current thinking*, IES report no. 469, 2009).

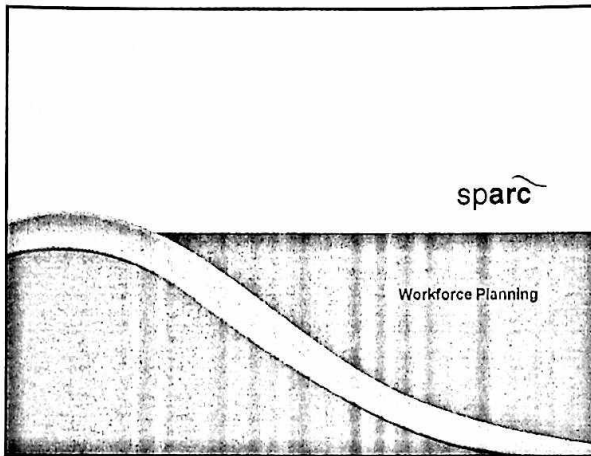
“Improving engagement correlates with improving performance ....”

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**sparc** **Engagement and Alignment**

- **Tin Soldiers:** Too much alignment, too little engagement  
Everyone lived up in neat and rigid rows but going nowhere
- **Headless Chickens:** Plenty of engagement without proper alignment. A chaotic workforce each enthusiastically pursuing their own goals to no overall effects
- **Simply Bookends:** Low in engagement low in alignment and going nowhere.
- **Highflying:** It is only when both alignment and engagement are present and in balance that your people and your company will really succeed

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**sparc** Objectives

At the end of the session, participants will be able to:

- define workforce planning
- state the fundamentals of workforce planning
- mention steps in building workforce
- link workforce planning to HR functions

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**sparc** Learning Objectives

At the end of the session, participants will be able to:

- Prepare a workforce plan
- Appreciate the critical importance of workforce planning in the success of the organisation
- Identify steps to take in creating a framework for the use of workforce planning.
- Identify HR strategies and plans focused on creating maximum impact in a business or other organisation
- Appreciate the tools and technologies that can support workforce planning

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**sparc** Defining Workforce Planning

Strategic workforce planning is the process of analysing and forecasting the talent an organisation will need to achieve its strategic objectives.

Operational workforce planning tends to deal with the shorter term and include the framework, systems and processes, tools, templates and techniques that will support decision making on a day to day basis.

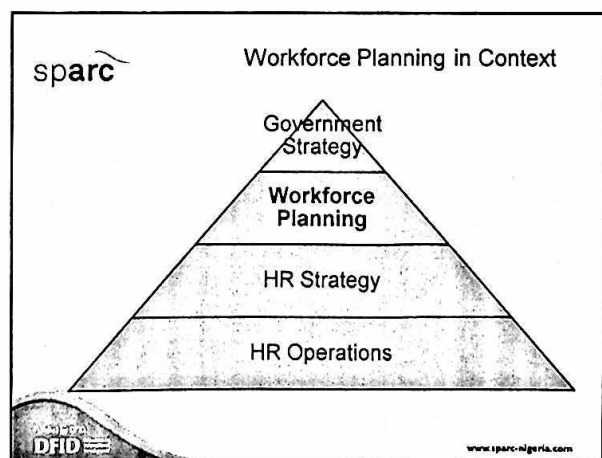
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**sparc** Purpose of Workforce Planning

To proactively deal with anticipated and unexpected changes in the workforce demands and supply.


To develop a planning process that clearly links Human Capital strategy to Business goals/objectives.

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**Workforce Planning Framework**


- **Ownership:** The process is owned by HR with a strong input from the line managers and finance
- **The Team:** HR, finance, business planning and strategy
- **Timing:** In line with the organisation's planning cycle




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**Workforce Planning - STEPS**


1. Articulation of the organisation's strategic direction
2. Demand Analysis
3. Supply Analysis
4. Gap Analysis
5. Strategies
6. Implementation
7. Evaluation




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**Workforce Planning Tools**


Demand Analysis	• <i>What is the vision, mission, goals?</i>
Supply Analysis	• <i>What are the current and projected objectives?</i>
Gap Analysis	• <i>What does the environmental scan indicate.</i>
Strategies	• <i>What talent is required – quantitative, qualitative – skills, diversity?</i>
Implementation	• <i>What is current HC, turnover rate – voluntary, involuntary, age related?</i>
Evaluation	• <i>What is the trend of absences for sickness, health related, strikes?</i>




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**A Demand Analysis Example**


<b>Workforce Strategy</b> Deliver minimum healthcare standard to all state residents through all local governments	<b>Workforce Implications</b> <ul style="list-style-type: none"> <li>• Who do we need?</li> <li>• How many?</li> <li>• Where to locate medical teams</li> <li>• How to build the teams</li> <li>• How to develop required skills</li> </ul>
---	---




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**Workforce Planning Tools**


Demand Analysis	• <i>Headcount</i>
Supply Analysis	• <i>Analysis by level, skill, location, gender.</i>
Gap Analysis	• <i>Entrants</i>
Strategies	• <i>Acceptance rates</i>
Implementation	• <i>Exits</i>
Evaluation	• <i>Demographic trends</i>
	• <i>Graduate trends</i>
	• <i>Business, Snr Mgt and Strategists outlook for future roles.</i>



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**Workforce Planning Tools**

Demand Analysis	• <i>Identify the gap between supply and demand</i>
Supply Analysis	• <i>Segment by location, level, type</i>
Gap Analysis	• <i>Determine critical gaps and priorities</i>
Strategies	
Implementation	
Evaluation	



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**sparc** Workforce Planning Tools

Demand Analysis	▪ Recruitment
Supply Analysis	▪ Retirement
Gap Analysis	▪ Placement
Strategies	▪ Learning and development
Implementation	▪ Career planning
Evaluation	▪ Compensation and benefits
	▪ Performance Management
	▪ Employee relations

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**sparc** Workforce Planning Tools

Demand Analysis	• Determine the cycle to be applied. Annual, quarterly, as the need arises
Supply Analysis	• Establish a model for planning
Gap Analysis	• Get management and workforce buy-in
Strategies	• Administer the tools
Implementation	
Evaluation	

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**sparc** Workforce Template

Sl. No.	Category	Supply	Req. Now	Req. 1 year	Req. 2 years	Req. 3 years	Timeline
1	Doctor-Physician	Medical Management Learning	10	2	0	3	Q1 2013
2	Doctor Paediatric	Medical Management Learning	3	1	1	2	Q2 2013
3	Doctor - O & G	Medical Management Learning	2	2	1	3	Q3 2015
4	Radio Diagnostic	Medical Management Team Learning	4	2	1	3	Q3 2012

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**sparc** Workforce Planning Tools

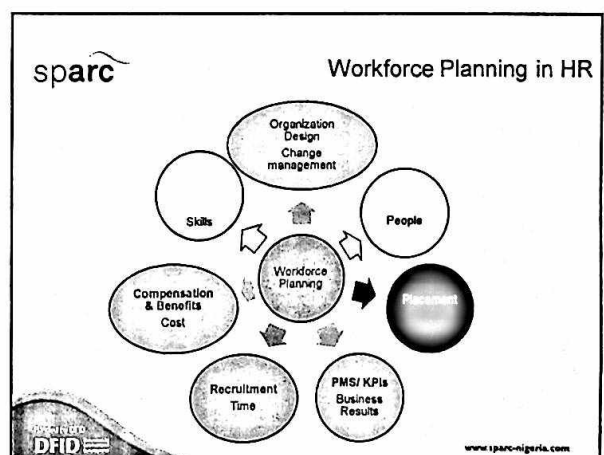
Demand Analysis	
Supply Analysis	• Periodic review of actual against plan
Gap Analysis	• Escalation framework for variances
Strategies	• Action plan for variances
Implementation	
Evaluation	

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**sparc** Building an Effective Workforce

- The right people: Competencies
- People in the right place: Gap analysis
- Doing the right thing: PMS
- At the right time: KPI

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### Case Study Exercise

- Consider your State Government Civil Service
- In your groups, discuss and summarise how you think workforce planning can impact on MDA performance by answering the following questions:
  - What does HR need to know?
  - What are the key metrics that should be tracked & evaluated?
  - How can the top business objective be met through HR actions?
- One person per group to present to the whole house (5 mins)



15 MINUTES!

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### Overcoming Barriers and Challenges

#### Barrier

- Availability of information
- Silo operations
- Business and HR strategy alignment
- Competencies
- Changing administrations, politics and priorities

#### Mitigant

- Record keeping
- Senior management buy-in and commitment
- Goal congruence; system & process
- Training and development
- Institutionalise innovation and programme's sustenance.



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### Workforce Planning: Benefits

- Improve pro-activeness
- Improve HR effectiveness
- Increase productivity
- Increase internal and external customer satisfaction
- Improve employee satisfaction
- Ability to meet organisation development goals



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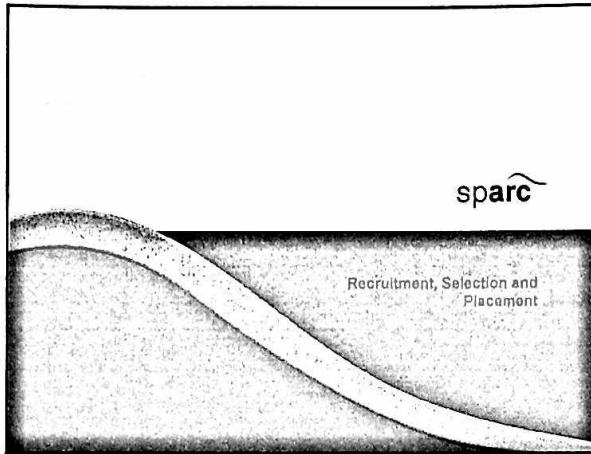


### Learning Points/Next Steps

- 1.
- 2.
- 3.
- 4.
- 5.



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**sparc** Course Outline

- The Concept/Context of Recruitment Selection and Placement (RSP)
- Components of the RSP
- The strategic imperatives of Employee Resourcing
- Emerging Trends In Employee Resourcing

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**sparc** Today's Realities

- Securing the right person for the right job is at the core of every business
- The critical constraint on the growth and success of any business is the ability to attract and keep good people – In today's world, this is the most important responsibility of management
- That an incompetent person is hired shows the incompetence of the recruiter

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**sparc** What is Recruitment?

- Recruitment is the process of searching for prospective employees and stimulating them to apply for a job in an organisation.
- Recruitment must follow a policy guideline called Recruitment Policy
- The overall aim of the recruitment and selection process should be to obtain at minimum cost the number and quality of employees required to satisfy the human resource needs of an organisation

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**sparc** Employee Resourcing

- The process of matching future organisational requirements with the supply of properly qualified, committed and experienced staff in the right place at the right time
- These staff can be drawn from the internal or external labour market

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**sparc** **RIGHT...**

- PEOPLE
- PLACE
- PERIOD OF TIME
- PRICE

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sparc Questions?

- How do you determine future requirements?
- How do you assess the 'properly qualified'?
- How do you assess 'the committed'?
- If you can't get people on the inside, how do you attract people on the outside?
- What if you can't find the right people?
- What if you start with the wrong people?

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sparc Recruitment Pitfalls

- Sacrificing quality for expediency
- Shortchanging on salaries
- Unclear job descriptions
- Shoddy onboarding process
- Denigrating applicants

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sparc Challenges of Employee Recruitment

- Bias and prejudice
- Tribalism and other sentimental consideration
- Political balancing or quota system
- Godfatherism
- Lack of adequate and proper training of personnel and human resources officers
- Lack of adequate funds

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sparc The Recruitment Policy

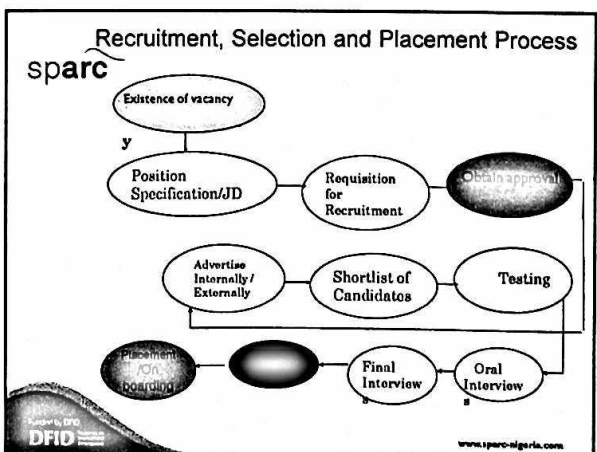
- An organisation needs a written recruitment policy to promote good practice, set standards and clarify the roles, responsibilities and expectations of everyone involved
- The policy should take into account any laws relating to staff employment, your organisation's aims and values (for example, promoting equal opportunity) and good management practice

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sparc Cost of Recruitment

- A wrong recruitment decision costs a company three to six times a person's annual compensation e.g. a wrong decision worth =N=500,000 costs =N=1.5m
- In UK, the median recruitment cost of filling a vacancy was £8,333 for senior managers/directors and £2,930 for other employees
- Cost elements:
  - Lost time of HR
  - Lost time of other process parties
  - Cost of work not getting done
  - Cost of separation
  - Lost money
  - Lost productivity – replacement, gossip columnists
  - Consultancy fees

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A job description sets out the purpose of a job, where the job fits into the organisation structure, the main accountabilities and responsibilities of the job and the key tasks to be performed.

- Results expected of that position
- Skills necessary to achieve those results
- Personality characteristics of the ideal person for the job and how well he/she will fit in with the rest of the team



Used to identify the kind of person required to do a specific job by identifying essential and desirable qualities

1. **Physique:** health, strength, appearance, voice and other physical attribute
2. **Attainment:** general education, job training and job experience
3. **General Intelligence:** capacity for complex mental work and general reasoning ability
4. **Special aptitudes:** predisposition to acquire certain types of skills
5. **Interests:** inclination towards intellectual, social, practical and constructive or physical active leisure pursuits
6. **Disposition:** steadiness and reliability, degree of acceptability to and influence over others, self-reliance
7. **Circumstances:** mobility, domicile



- Organisations are inundated with a deluge of applications and job seekers
- Selection involves choosing from a pool of applicants the persons that best meet the requirements of the job or an organisation
- The selection function involves the use of relevant criteria and methods that are consistent with values of the enterprise and society



- Determines interaction patterns
- Expresses values – ‘what’s important around here’
- Communicates the nature of leadership
- Conveys the value of people
- Motivates performance
- Keeps joints in place



- Multiple Interviews
- Tests and Tasks
- Presentations
- Group Tasks
- Psychometric Tests
- Aptitude Tests
- Assessment centres
- Panel Interviews



Situation  
Task  
Action  
Result



Attract, Retain and Motivate Key Wealth Creators?

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**CHALLENGING WORK\***

	H	L
H	IDEAL	ROUTINE
L	REDUCE	OUTSOURCE

VALUABLE\* WORK

\* MCKINSEY, KAY and JORDAN- EVANS

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The Talent Journey

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	Attracting	Developing	Engaging	Retaining
1. Employee Brand	Developing a compelling employer brand that resonates with the target talent pool.	Ensuring that the employee brand is consistent across all touchpoints and is supported by a strong internal culture.	Creating a compelling value proposition that resonates with the target talent pool.	Ensuring that the employee brand is consistent across all touchpoints and is supported by a strong internal culture.
2. Talent Pipeline	Identifying and attracting top talent from a wide range of sources.	Developing a strong talent pipeline that ensures a steady flow of high-quality candidates.	Ensuring that the talent pipeline is supported by a strong internal culture.	Ensuring that the talent pipeline is supported by a strong internal culture.
3. Employee Experience	Ensuring that the employee experience is consistent across all touchpoints.	Developing a strong employee experience that resonates with the target talent pool.	Ensuring that the employee experience is consistent across all touchpoints.	Ensuring that the employee experience is consistent across all touchpoints.
4. Compensation	Ensuring that the compensation structure is competitive and aligned with the target talent pool.	Developing a strong compensation structure that resonates with the target talent pool.	Ensuring that the compensation structure is competitive and aligned with the target talent pool.	Ensuring that the compensation structure is competitive and aligned with the target talent pool.
5. Career Development	Ensuring that the career development opportunities are consistent across all touchpoints.	Developing a strong career development structure that resonates with the target talent pool.	Ensuring that the career development opportunities are consistent across all touchpoints.	Ensuring that the career development opportunities are consistent across all touchpoints.
6. Leadership	Ensuring that the leadership team is strong and aligned with the target talent pool.	Developing a strong leadership team that resonates with the target talent pool.	Ensuring that the leadership team is strong and aligned with the target talent pool.	Ensuring that the leadership team is strong and aligned with the target talent pool.
7. Culture	Ensuring that the culture is consistent across all touchpoints.	Developing a strong culture that resonates with the target talent pool.	Ensuring that the culture is consistent across all touchpoints.	Ensuring that the culture is consistent across all touchpoints.
8. Retention	Ensuring that the retention strategies are consistent across all touchpoints.	Developing a strong retention strategy that resonates with the target talent pool.	Ensuring that the retention strategies are consistent across all touchpoints.	Ensuring that the retention strategies are consistent across all touchpoints.

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Defining the Employee Value Proposition

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•An Employee Value Proposition is the holistic sum total of everything employees experience and receive day by day, while they are part of an institution, from the intrinsic satisfaction of the work to the environment, leadership, colleagues, compensation and more. It is about how well the company fulfills people's needs, their expectations and even their dreams.

•A strong EVP excites employees so much so that they are exceedingly passionate about their jobs and re-commit daily to give their best to their company.

•An employee value proposition is similar to the customer value proposition which marketers have consciously crafted for more than a century.

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A Winning EVP

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<p><b>Compensation</b></p> <p>Competitive reward structure which allows your organisation to compete in markets in which it does business and shop for talent. Reward structure focuses on creating shareholder value. Base Pay, Bonus Awards, when you outpace the competition ... performance-led salary adjustments. Stock Options. Differentiation promotes excellence and value creation.</p>	<p><b>Learning</b></p> <p>Your staff learn faster, cheaper and closer to their jobs than the competition. Promote a learning organisation, where learning happens alongside work and fortifies value-creation capability. Part of a world-class workforce that is regarded as highly competent, internationally mobile and globally competitive.</p>
<p><b>High Quality Work Challenge</b></p> <p>Provide quality work and jobs. Encourage staff to take calculated risks. Spot talent early and give them real responsibility and accountability. Promote tough performance conversations, which are neither hostile nor cosy. Intolerance for poor performance. Leverage differentiation to recognise high performance and desired behaviours.</p>	<p><b>High Quality Leadership &amp; Work Environment</b></p> <p>Focus on building a strong leadership bench at all levels, which ignites a passion for excellence and role-models the corporate values. Create a safe, conducive and inclusive work environment, where diversity is a strength and difference is valued. Promote work-life balance, leading to an energised and healthy workforce.</p>

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Why is an EVP Critical?

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- Having the right people in the right jobs is a real source of competitive advantage
- The relentless war for talent, local and global ..... Attraction, Retention
- Fast-changing marketplace creates challenges whilst offering opportunities
- Changing demography and workforce trends and expectations:
  - ✓Baby Boomers (bn1945-1960) ...expectations that the world would be better, stayed long in their jobs , long career types
  - ✓Generation X (bn1961-1981).....change-friendly, change from life-long employment to lifelong employability ..... Job shift ..... shape own career
  - ✓Generation Y (bn mid1970s -2000) .....Increased use and familiarity with communication, media and digital technologies...restless, unconventional, have set expectations, very self-confident, intolerant of tardy People Mgt
- Through backward linkage, EVPs can impact University enrolment patterns in terms of courses of study, thereby potentially improving or worsening the war for talent

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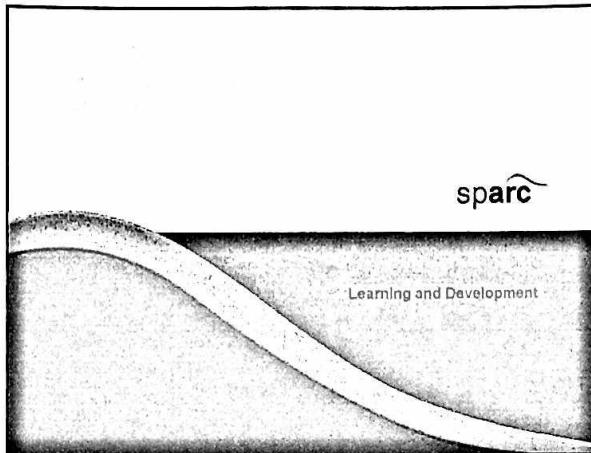
Emerging Trends

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- The convergence of recruitment and social networking
- The use of social networks continues to drive recruitment
  - 78% of companies are now using social networking and social media to find and attract candidates. Recent surveys of recruiters & HR executives found that over 50% of companies were spending more on business networking sites such as LinkedIn, Facebook, and employee-referral programmes and less on print and traditional job boards.
- Candidates are open to the idea of social networking as a recruitment tool
  - Employers, active job seekers and passive candidates are keen to jump on the 'networking bandwagon' to revolutionise recruitment. Increasingly, both are willing to publish career-based information about themselves on social networking sites, with a view to potential employment opportunities, either from friends or from head-hunters.

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- **Is the war for talent still relevant in today's market?**  
86% of companies across a number of industries admitting to experiencing recruitment difficulties – CIPD survey  
Increase in recruitment spending on temporary and contract workers.
- **It pays to know people**  
CIPD surveys indicate that 64% of respondents agreed that referral reward incentives for staff have a positive impact – not just on the calibre of job applicants, but on the budget too.
- **Golden Hello's can provide the ideal incentive in today's talent war**  
As far back as 2008, the CIPD survey confirmed that 52% of companies thought that candidate incentives have a positive impact.



**Learning Outcomes**

At the end of the session participants should be able to:

- Identify different types of learning and development strategies to upgrade Officers' competencies
- Learn practical steps and apply learning and development concepts, framework and principles to continuously improving officer's performance in the service
- Apply Training evaluation and ROI concepts as HR Officers to make learning intervention value adding

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**Definition of Concepts**

Learning : A systematic way of acquiring skills, knowledge and behaviour required to perform optimally.

Development : Learn to improve skills, knowledge or modify behaviour required to achieve organisational goals.

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**BEST PRACTICE**

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**Best Practice**

- '... employees are key players contributing to the core competencies of the organisation' (Hamel and Prahalad, 1994)
- harnessing the talents and capabilities of employees is a significant managerial activity (Leopold *et al.*, 2005)
- 'Strategic human resource development involves introducing, eliminating, modifying, directing and guiding processes in such a way that all individuals and teams are equipped with the skills, knowledge and competences they require to undertake current and future tasks required by the organisation' (Walton, 1999)
- takes a broad and long-term view for L&D (Armstrong, 2006)

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**Best Practice**

- Building superior workplace as part of corporate identity
- Take care of employees. Employees take care of customers
- Training to learn multiple skills
- Focus on high performance
- Interested in working with people
- Openness & transparency
- Institutionalise Learning Culture
- Encourage Knowledge sharing
- Professional support
- Skill updating – Learn, Re-learn and Unlearn

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- Interactive sessions with the Chief Executive Officers
- Learning Organisation and Organisation Learning
- Knowledge Sharing Sessions
- Open Book Management Style
- Performance Management Feedback System
- Recognise employee achievements
- Individual learning plans – Self Development
- Reimbursement of tuition fees/examination fees for employee professional development



OVERVIEW



- Global business environmet
- Forces to change
  - *new technology*
  - *paradigm innovation*
- Competition
- Continuous improvement
- Internalisation
- Levels of uncertainty and ambiguity
- Core competencies



- Enable developers to build stronger, more successful human capability
- Provide knowledge and business support resources
- Increase the perception of development as a credible government and raise the profile of public service as viable
- Improve the government/citizens relationship
- Improve the dividend of democracy



- Training is not valuable
- Training is an expense, not an investment
- Anybody can be a trainer
- The training department is a good place to put poor performers
- Training is the responsibility of the trainers



- **Reinforcement** – changes in behaviour take place as a result of an individual's response to events or stimuli and ensuing consequence (rewards or punishments)
- **Cognitive** – involves gaining knowledge and understanding by absorbing information and internalising it
- **Experiential** – learning from experience, it is a personal construction of meaning through experience
- **Social Interaction** – effective learning requires social interaction. Learning is a series of information processing steps set in train by social interactions





**sparc** The Motivation To Learn

- Conducive learning environment
- What is in it for me (WIIFM)
- Experiential
- Constructive feedback
- Use of preferred techniques
- Independent to learn and apply

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**sparc** Types of Learning

Honey & Mumford: Typology of Learners

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**sparc** Learning Process

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## LEARNING NEEDS ANALYSIS

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**sparc** Needs Analysis Definition

A needs analysis is the process of identifying performance requirements and the 'gap' between what performance is required and what presently exists.

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**sparc** Identifying Training Needs

Current Position | **Conduct training needs assessment** | Where you want to be

Is there a training/development gap?

- To determine what development is relevant to your employee's jobs
- To determine what development will improve performance
- To determine if training will make a difference
- To distinguish training needs from organisational problems
- To link improved job performance with the organisation's goals

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Macro vs. Micro


Macro (large)	Micro (Small)
<ul style="list-style-type: none"> <li>aligned with strategic goals</li> <li>three levels               <ul style="list-style-type: none"> <li>organisational</li> <li>occupational</li> <li>individual</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>initiated by performance problems or change</li> <li>assessment done to clarify problem, determine if training is the solution, analyse performance, and characteristics of trainees</li> </ul>

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Analyse

- What is the problem? — Problem Analysis
- Is it a training problem? — Performance Analysis
- What skills and knowledge should be included in the training programme? — Task/Competency Analysis
- Who needs to be trained? — Learner Analysis




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What is Problem and Performance Analysis?

Clearly defining the problem or opportunity

A formal procedure used to analyse defined needs to determine their causes and identify appropriate solutions




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Robert Mager

- Define the problem?
- Determine the importance
  - Is it worth solving?
- Determine the cause(s)
- Identify training vs. non-training solutions
- Select the best (most cost-effective) solutions



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Cause → Solution


- If skill or knowledge.....training
- If lack feedback.....feedback, standards
- If not motivated.....rewards, consequences
- If unclear expectations.....std, measure, discuss
- If job environment.....change environment
- If potential.....change personnel

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If training is the answer...

- Formal training
- Self-study
- Technology based
- Job related/ workplace approaches



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**sparc** Task/Competency Analysis: 'What do learners need to learn?'


<p><b>Task Analysis</b></p> <ul style="list-style-type: none"> <li>• For more skill oriented jobs</li> <li>• When they need consistent set of training requirements</li> </ul>	<p><b>Competency Analysis</b></p> <ul style="list-style-type: none"> <li>• Soft skills training such as management, supervision</li> <li>• Professional jobs</li> <li>• Career pathing</li> <li>• Leadership development</li> </ul>
--	---

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**sparc** Data Collection Methods

Data gathering is cornerstone of any needs assessment project

- Interviews
- Surveys/ Questionnaires
- Focus Groups
- Observation
- Existing Data



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**THE LEARNING AND DEVELOPMENT CYCLE**

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**sparc** The Learning Cycle

To create meaningful learning, instruction has to be adapted to help participants:

- Become aware of their prior knowledge
- Work cooperatively in a safe, positive learning environment
- Compare new ideas to their prior knowledge

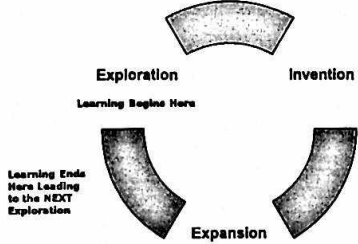
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**sparc** Traditional Course Lessons

<b>Lesson Begins</b>	<b>Lesson Ends</b>
←	→
<p><b>Trainer:</b> tells/lectures content, questions <b>Learners:</b> answers questions, recites work and problems</p>	<p><b>Trainer:</b> provides verification and summary <b>Learners:</b> Asks for clarification</p>

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**sparc** More Meaningful Learning



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### Why Use a Learning Cycle?

It allows learners to:

- Become aware
- Recognise shortcomings
- Apply critical reasoning
- Search more efficiently
- Apply what they learn
- Transfer knowledge

### sparc The Learning Cycle : Exploration

- The learning cycle was created out of concern with learners gaining experience and this becomes the first stage of the model
- Learners are provided with suitable experiences in order to create for themselves what is to be learned
- This is where experience must be given in order to allow learners to assimilate what is to be learned with prior knowledge
- A common weakness in this stage is not allowing sufficient time, and that the time must be spent with the materials and activities that will lead to the concept
- A strong exploration provides opportunities for learners to assimilate the concept from more than one activity

### sparc The Learning Cycle: Term Introduction

Five factors to be included in a term introduction include:

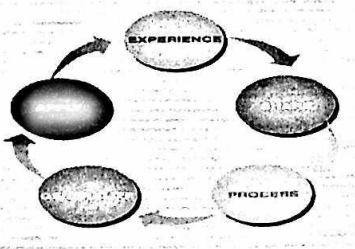
1. The findings of the exploration need to be reviewed and summarised
2. All findings used must be the Learners'
3. The concept must be stated in the Learners' own words
4. The proper terminology of the concept should be introduced
5. One or more reasons for the importance of the concept need to be given

### sparc The Learning Cycle: Concept Application

- The purpose is to provide learners with the opportunity to *organise* the concept they have just learned with other ideas that relate to it
- The scientific terminology of the concept must be used during the concept-application phase
- The new ideas of the learner are meshed with existing knowledge in order to expand both that knowledge and the newly acquired idea
- Additional experiences to help this elaboration process are an essential part of this stage

### sparc 5-Step Experiential Learning Cycle

#### THE EXPERIENTIAL LEARNING CYCLE



### BUDGETS AND LEARNING EVENTS

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## Budgeting is part of Planning

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## Definition

- It is a list of all planned expenses & revenues
- A budget is an organisational plan stated in monetary terms
- The process of making the list is budgeting

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## Purpose of Budgeting

Purpose of budgeting is to provide a forecast of revenues and expenditures (i.e. a model of how a business might perform financially speaking *if* training strategies, events and plans are carried out)

It is a MODEL!

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## Purpose of Budgeting

To assess performance by comparing actual operating results against the forecast/budget (Model vs. Actual)

It is a METRIC!

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## Budgeting is key!

No business should ever proceed without planning, and a budget is the financial plan for conducting learning and development business in the near future.

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## Budget Tracking

One must keep track of how much money is going into each category of expense, as well as how much one is spending in total.


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## Budgeting Principles

The Finance Department compiles the company's budget, but today modern software allows hundreds or thousands of people in the various departments (operations, human resources, IT etc) to contribute to the final budget.




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## Budgeting Principles

A budget cannot be adequately prepared during the final week or two before the new budget period begins.



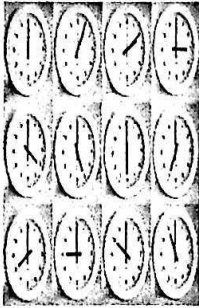
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## Budgeting Principles


You should collect information used in preparing the budget, especially information concerning expenses, several months ahead of time.



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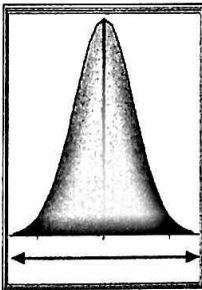
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## Variances!

- Variances against budget
- Variances against history (usually prior year)

ACTUAL	BUDGET	VARIANCE (+/-)



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## Managing a Training Event

To ensure an effective and memorable training event, Training Administrators should prepare checklist to confirm:

- The Delivery – Curriculum, Facilitator, etc
- The Logistics – Equipment, Venue etc
- The Participants – Attendance, Commitment
- The Fund – To provide needed resources
- Evaluation – Assessment, Feedback

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## METHODS AND STRATEGIES

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## Training Methods

- Lecture Method
- Demonstration Method
- Practical Exercise (Practice Method)

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## Lecture Method

**Lecture method:** Is a trainer centered training in that the trainer is the sole dissemination of information. The best method is when the trainer presents a segment of training, questions the student frequently, and provides periodic summaries or logical point of development.

**Advantages:** Learners are encouraged to ask questions about points which are not clear, and the trainer is free to take the necessary time to answer these questions. Good for auditory people.

**Limitations:** The major limitation of this method is that only limited discussion is possible because of larger classes and greater amount of material to be covered.

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## Demonstration Method

**Demonstration method:** DM is one in which the Learner observes the portrayal of procedure, technique, or operation. The demonstration method shows how to do something or how something works. It may or may not introduce new methods.

**Advantages:** It sets standards by showing exactly how a thing is to be done and the degree of proficiency required to meet objective. The demonstration appeals both to the sense of sight and hearing. The method saves time since principles, theories and operations can usually be shown more quickly than they can be explained.

**Limitations:** Since students do not actively participate in all demonstration, there is less reinforcement of teaching points if this method is used alone. Thus, this method should be followed with a practical exercise in which the learners do participate. DM is not good for kinesthetic people.

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## Practical Exercise

**Practical Exercise:** PE is a method of training in which the Learner actively participates, either individually or as a team member. He does this by applying previously learned knowledge or skills. This method may take several forms: team, pupil, and independent practice.

**Types of practice methods:** Team practice, role play, case study, brain storming, discussion, games and competition.

**Advantage:** Learners learn by practicing role. PE encourages learners to think about the subject from various perspectives. Students learn from each other. Also, learners become eager to learn in order to 'beat the competition' as competition creates enthusiasm.

**Limitations:** If not handled properly may create conflict among the learners because of competition. Learner's confidence can be damaged if they are told their idea is 'wrong' or if they face aggressive opposition. Disadvantage for shy people.

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## Variations of the Lecture Method

Standard Lecture

Learner Presentations

Team Presentation

Panels

Guest Speakers

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## TOOL FOR TALENT MANAGEMENT

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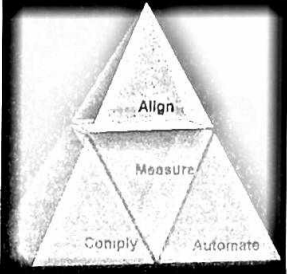
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## What is Talent Management?

A set of processes that allow a company to increase value provided by their human capital.

- Key processes
  - Goal alignment
  - Candidate selection
  - Performance management
  - Employee development
  - Rewards delivery
- Workforce is more:
  - Suitable
  - Engaged/Committed
  - Flexible/Adaptive
  - Productive



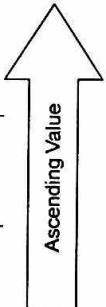
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## How Do You Develop Leaders?

- Experience**
  - Job change/rotation
  - Special projects and assignments
  - Exposure and involvement in key challenges
  - Task forces, committees, change initiatives
- Feedback & Coaching**
  - Job Performance feedback
  - Executive coaching
  - 360-degree feedback process
  - Developmental assessment workshops
- Formal Learning**
  - Critical skill building training programmes
  - Transition training programmes
  - Key external training programmes
  - Self-directed learning initiatives



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## Talent Retention Tools

- Career development opportunity
- Sense of accomplishment
- Job security
- Confidence in future
- Good compensation
- Recognition
- Fairly evaluating job performance

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## SUCCESSION PLANNING

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## Succession Planning

A process by which one or more successors are identified for key posts (or groups of similar key posts), and career moves and/or development activities are planned for these successors.

- Targeted only to key leadership positions

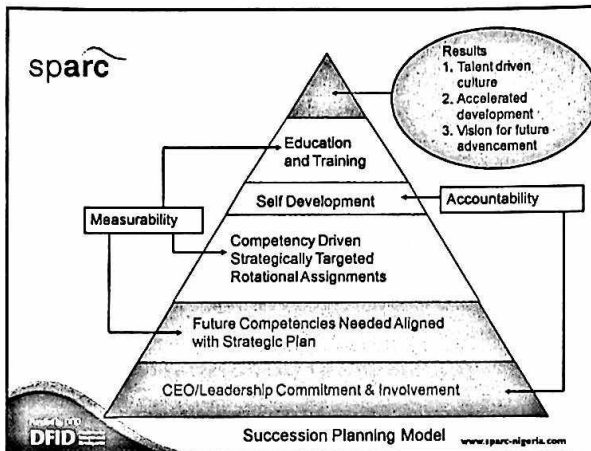
How Succession Planning Helps:

- Understanding the organisation's long term goals and objectives
- Identifying the workforce's developmental needs
- Determining workforce trends and predictions

Benefits of Succession planning:

- Better retention
- Valuable training goals
- Increased preparation for leadership
- Greater employee satisfaction
- Enhanced commitment to work and workplace
- Improved corporate image





### Best Practice: Right Approach

Effective succession management is a journey – not a destination

**Deploy a Succession Management Process**

- Succession management is a continuous annual process
- Business units responsible for 'deliverables'
- HR typically responsible for the tools and processes
- Technology to facilitate the process (short, simple and flexible)

**Identify the Talent Pool**

- Cyclic continuous identification process
- Core set of leadership and succession management competencies
- Talent assessment – semi transparent process

**Engage the Talent Pool**

- IDPs for each employee
- Developmental Activities – special assignments, action learning, web-based development activities

**Monitoring & Assessing**

- Monitor the succession planning process

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### Succession Planning

- An integral part of learning and development
- Key aim is to provide the organisation with continuous stream of high quality people on an ongoing basis as required by the strategic plan
- Succession Planning helps focus attention on the Talent agenda of the organisation
  - Who succeeds who by when
  - what actions required to make the plan happen?
- Actions could include Training/Secondment/Relief assignments/Project work/ Education
- Recruitment requirements also emerge from the succession planning process

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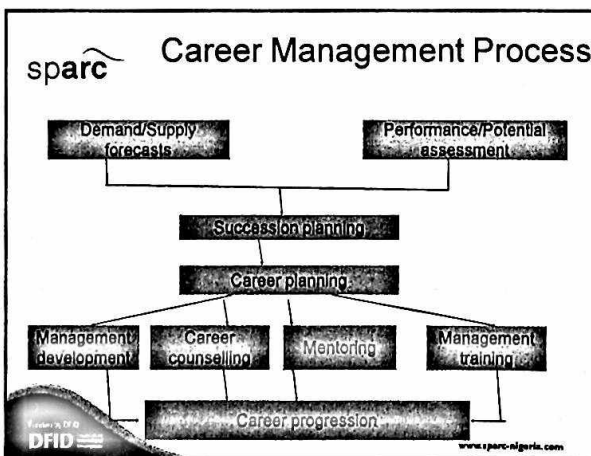
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### Why Important?

- Organisational strategy is based on the assumption that capable people will be continuously available in the right numbers to man the key positions
- Career and succession planning help guarantee that this assumption happens in a consistent/systematic way
- Career planning offers motivation for key employees – an important retention factor
- Offers significant competitive advantage in the recruitment market – enables attraction of key talent
- Succession planning and implementation reinforce employee confidence in the employer's commitment to personal growth

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### Building Excellent Successors

- Building excellent successors does not just happen
- It is a product of systematic approach to the implementation of career and succession planning
- As 'people make the difference' in the organisation, the manpower planning agenda requires ruthless focus
- Capability to build excellent successors has thus become an imperative – 'growing your own trees'
- Business survival and growth rests on continuity of quality leadership
- Business continuity rests on availability of excellent successors

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sparc Recommendations

- Keep the process simple
- Engage technology to support the process
- Align succession management within overall business strategy
- Secure senior level support for the process

The last two suggest that there is 'virtuous cycle' when the succession system supports corporate strategy in a tangible way

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## TRAINING EVALUATION AND RETURN ON INVESTMENT

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**Training evaluation provides the data needed to demonstrate that training does provide benefits to the company.**

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sparc Introduction

- **Training evaluation** refers to the process of collecting the outcomes needed to determine if training is effective
- **Evaluation design** refers to from whom, what, when and how information needed for determining the effectiveness of the training programme will be collected

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Why Should A Training Programme Be Evaluated?

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- To identify the programme's strengths and weaknesses
- To assess whether content, organisation and administration of the programme contribute to learning and the use of training content on the job
- To identify which trainees benefited most or least from the programme

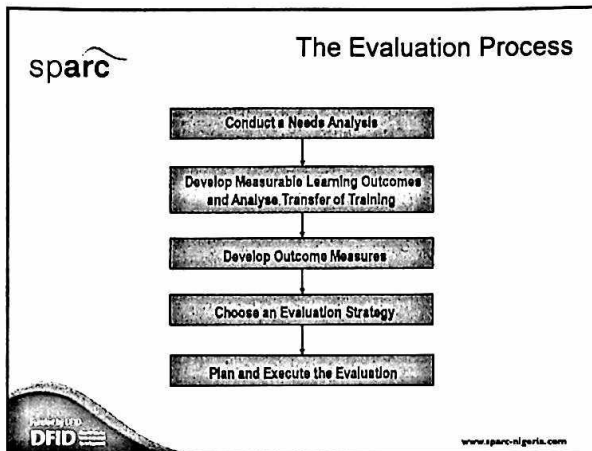
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Why Should A Training Programme Be Evaluated?

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- To gather data to assist in marketing training programmes
- To determine the financial benefits and costs of the programmes
- To compare the costs and benefits of training versus non-training investments
- To compare the costs and benefits of different training programmes to choose the best programme

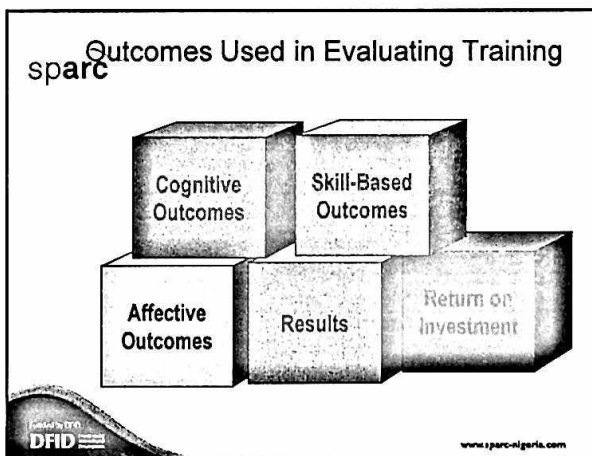
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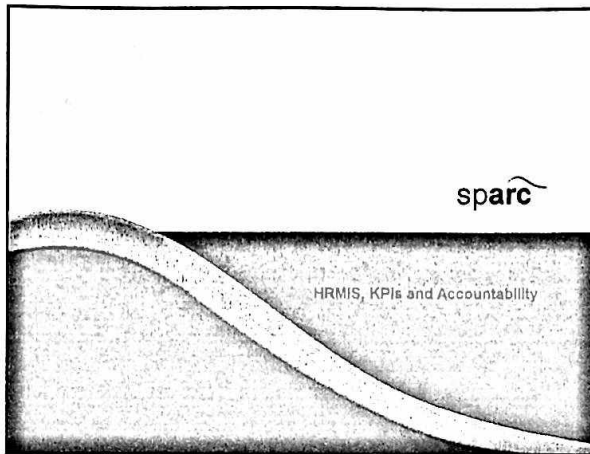
**sparc** Four-Level Framework of Evaluation

Level	Criteria	Focus
1	Reactions	Trainee satisfaction
2	Learning	Acquisition of knowledge, skills, attitudes, behaviour
3	Behaviour	Improvement of behaviour on the job
4	Results	Business results achieved by trainees

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- sparc** How do you know if your outcomes are good?
- Good training outcomes need to be:
- Relevant
  - Reliable
  - Discriminatory
  - Practical
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sparc Contents

- Introduction to Information System
- Information System and the HR Function
- What is an HR Management Information System (HR MIS)?
- Why HR MIS?
- HR MIS & KPI
- Criteria for effective Performance Indicators
- Conclusion

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sparc Introduction

- An information system is any combination of information technology and people's activities that support operations, management and decision making.
- In a very broad sense, the term *Information system* is frequently used to refer to the interaction between people, processes, data and technology.
- In this sense, the term is used to refer not only to the information and communication technology (ICT) that an organisation uses, but also to the way in which people interact with this technology in support of business processes.

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sparc Information Systems

Can be divided into 5 separate categories:

- Management Information System (MIS)
- Decision Support System (DSS)
- Executive Information System (EIS)
- Transaction Processing System (TPS)
- Enterprise Resource Planning (ERP)

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sparc Information System

- ▶ MIS: used to analyse operational activities in the organisation. Most management information systems specialise in particular aspects of the enterprise, or management substructure
- ▶ DSS: are computer program applications used by middle management to compile information from a wide range of sources to support problem solving and decision making
- ▶ EIS: is a reporting tool that provides quick access to summarised reports coming from all company levels and departments such as accounting, human resources and operations.
- ▶ ERP: provide an organisation with integrated software modules and a unified database which enable efficient planning, managing, and controlling of all core business processes across multiple locations. Modules of ERP systems may include finance, accounting, marketing, human resources, production, inventory management and distribution

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sparc What is HR MIS?

- HR MIS is the management of data and application system(s) whose ultimate goal is to produce a check as well as store and provide information of the employee population, either individually or collectively, in part or in whole...
- ... any system that supports any aspect of the HR function
- Put simply, it is the application of computers to employee-related record keeping and reporting, and management decision making

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## MIS & The HR Function

Human resources management systems encompass:

- Recruitment & Selection: e.g. Online application/recruiting
- Employee Data Management & Administration (including Self-service)
- Time and Attendance
- Benefits Admin. e.g. Leave, loans and medicals
- Performance Management (evaluation) & Performance Records
- Compensation & Rewards
- Capacity Development (L&D)



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## Why HR MIS?

- Finding information from the bulk of files is a really painful task; HR MIS will make your task easier and manageable
- Managing and using employee information is a tricky task, it is a good idea to infuse latest software and IT tool to manage the task and reduce the chances of error or redundancy
- Managing attendance of employees on a daily basis is cumbersome. With a good HR MIS software it becomes a lot easier to track the attendance record of the employees
- Analysing personnel usage within an organisation becomes easier
- It's easy to track and manage training costs



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## Top Calculations for HR MIS

- Health care cost per employee
- Pay and benefits as a percentage of operating expense
- Time to fill job vacancies
- Cost per new hire/recruitment
- Return on training
- Comparisons e.g. trend analysis such as IGR against number of revenue collectors over 5-10 years



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## HR MIS in Action

- Citibank for instance (part of Citigroup) has a global database of information on all employees including their compensation, a skills inventory bank of more than 10,000 of its managers, and a compensation and benefits practices database for each of the 98 countries in which the company has employees
- IBM (like many other organisations) has a paperless online enrolment plan for all the employees and it saves 1.2 million per year on paper and printing



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## HR MIS in Action – Review

- What in your opinion is the present level of HR MIS in the state civil service?
- What impact will the introduction of integrated HR MIS in the state civil service have on the HR function and governance in general?



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## HR MIS and Key Performance Indicators


- The essence of an information system is to enable business managers make faster and better decisions
- To pull into the lead in global competition, HR practitioners must control labour costs, motivate employees to high quality, customer oriented performance and continuously search out new and better ways of achieving this, against the backdrop of culturally diverse employees and generally shrinking head counts
- The ongoing drive for simplicity creates the need to have linked systems that truly work together to create meaningful, usable data




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**HR MIS and Key Performance Indicators**


**Scorecard** – is a small collection of measures that capture the most strategic elements needed to execute the unique business strategy and achieve its short and long term goals


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**HR MIS and Key Performance Indicators**


- A performance indicator may be defined as *"a particular value or characteristic used to measure output or outcome"*
- Performance indicators could also be described as a means whereby management can, on a regular basis, oversee ongoing performance in a number of key areas
- KPIs are derived from the over-arching goals/ strategy of the organisation/ business unit or department



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**Criteria for Effective Performance Indicators**

KPI must be....


- Clearly stated
- Relevant
- Observable
- Measurable
- Achievable and/or exceedable
- Consistent
- Within employee's control
- Have traction, foot print or impact



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**Criteria for Effective Performance Indicators**

In addition KPIs must be:


- In compliance with the requirements of the overall strategic goals set
- State the assumptions and estimates on which they are base.
- Based on adequate internal control systems to collect and record information
- Derived from and calculated using information from the records
- Published/reported to allow for comparisons
- Audited for accuracy (not materially misstated)
- Audited for completeness



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**HR MIS and Key Performance Indicators**


**Performance indicators are not performance targets.**

Management may of course wish to set performance targets but KPI is the measurement of such targets. For example, meeting certain deadlines is a good target. KPI may be able to monitor on how many instances these targets were met.


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**HR MIS and Key Performance Indicators**

- The first consideration in setting measures and metrics to be analysed for comparison to KPIs for the HR function should be the key people issues from the organisation's scorecard or from the plans guiding the business
- The second consideration should be the HR measures – the key drivers that HR guides or controls that directly influence the key people measures described above. This includes key processes that HR designs and/or delivers e.g.
  - Recruiting & Selection
  - Rewards & Recognition
  - Performance Management


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## Performance Management

- Performance management is a process by which an organisation involves its employees, as individuals and members of a group, in improving organisational effectiveness in the accomplishment of its mission and goals
- Performance management is a **continuous and flexible process** which involves managers and those whom they manage acting as **partners within a framework** that sets out how they can best work together to achieve the required results
- Performance management is a **collaborative development process** for the individuals and the organisation



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## Why do we Manage Performance?

- Ensures that relative contributions of individual roles are articulated to overall corporate goals (line of sight)
- Ensures awareness of individual job roles and functions
- Ensures that there is an understanding of the level and nature of performance expectation
- Ensures timely and adequate feedback about performance
- Ensures that there are opportunities for formal and informal training and development



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## Why do we Manage Performance?

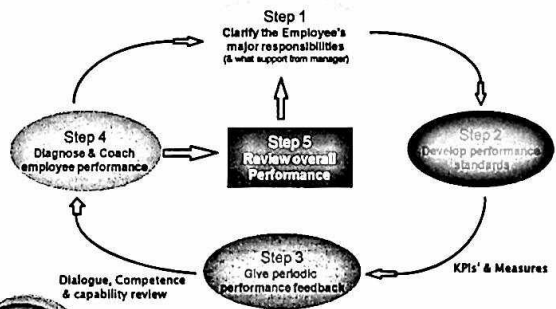
- Ensures consistently fair and objective performance assessment
- To entrench a performance oriented culture
- Competition in market place
- Developmental rather than punitive



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## Performance Management Cycle



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## Online Performance Management

### Major Attributes:

- Set and agree key performance indicators
- Input agreed indicators
- Periodic discussion and measurement of progress (feedback) on KPIs
- Cumulative performance result
- Linked to improved personal and corporate goal attainment
- Linked to personal development, reward and career progression
- Strong system control on interference



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## HR MIS and Key Performance Indicators

HR MIS is therefore a veritable source of information required to measure HR performance against set KPIs that have been established based on strategic business goals, and on how HR performance affects overall business/firm performance.



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Your HRMIS should therefore have the capacity to provide the information needed to compare KPI set standards against your present state and thus enable strategic planning towards goal attainment.

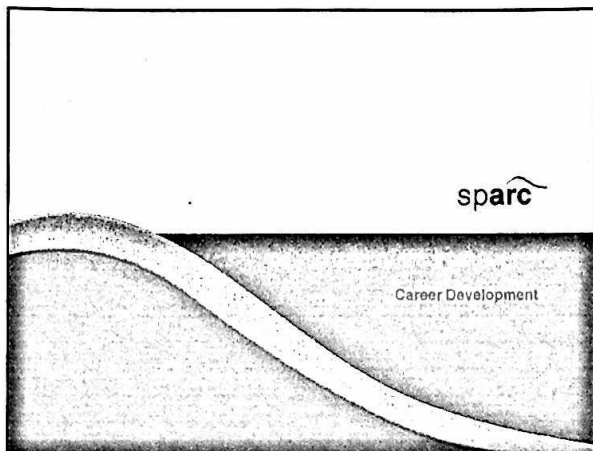
- Cost per employee
- Absenteeism ratio
- Timeline for recruitment into key positions
- Employee service level (Responsiveness)



- As a company grows relying on manual HR systems to manage activities like state-wide (worldwide) safety, benefits, administration, payroll and succession planning becomes unwieldy
- As we have seen, more organisations are therefore automating and integrating their HR system into human resources information systems (HR MIS)
- Leading organisations, both public and private, use HR KPI to gain insight into the effectiveness and efficiency of their programmes, processes and people, and to make judgements about them
- These organisations decide on what indicators they will use to measure their progress towards strategic goals and objectives, they gather and analyse performance data, and then they use this data to improve their organisations, successfully translating strategy into action







SPARC What is Career Development/ Career Planning?

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SPARC Modern HR and Career Development

- Historically HR was always regarded as a support function. More recently, with talented employees identified as a key source of competitive advantage, HR has taken on a strategic dimension
- HR is now an integral part of achieving organisational effectiveness. It contributes to direction-setting is directly responsible for achieving the right numbers, capabilities and mix of employees to achieve the wider strategic service delivery goals
- Effectiveness requires HR to attract, recruit, select and retain the best candidates
- A key element of the retention and engagement process is career development

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SPARC Need for Career Development

- The emerging workforce has different attitudes and expectations from the last generation
- With the growth of self-reliance, individuals are in charge of their own careers
- Organisations need to change how they manage and nurture their workforce

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SPARC Case for Career Development

- Talent is the key to future performance
- The global talent shortage is expected to last at least the next 15 years
- Recruitment and other costs associated with the loss of a talented employee are at least twice their annual salary
- Loss of talent damages organisational performance in the short term, and erodes organisational memory

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SPARC Select and Support Right People

Motivation is the key to career development. This means:

- Recruit the right people in the first
- Enrich the work to challenge and maintain interest
- Identify options other than promotion to recognise effort and sustain motivation
- Use transfers and special projects as development opportunities

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**sparc** Keeping Good People

- Build loyalty
- Fair treatment
- Provide frequent constructive feedback
- Provide mentors
- Create 'learning sets'
- Expose them to senior managers regularly

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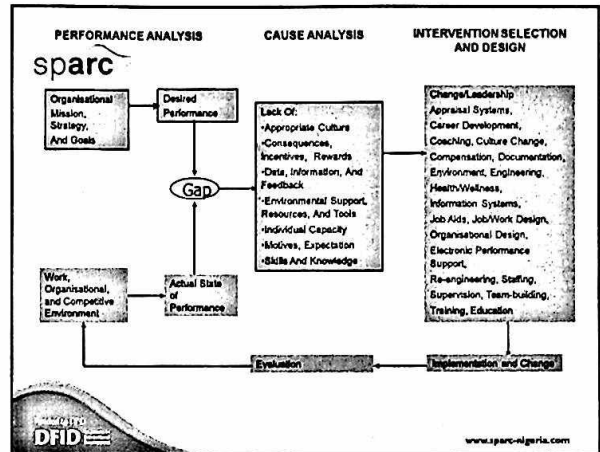
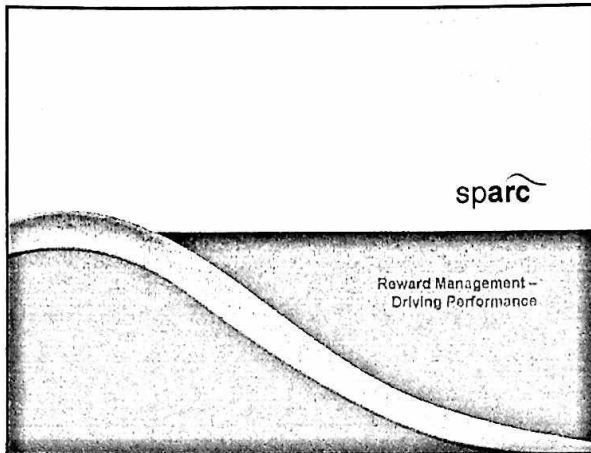
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**sparc** Checklist

- Recruit the best and plan long term career paths
- Induct properly
- Engage in continuous training (conferences, seminars, workshops, etc.)
- Use postings and transfers to expand knowledge, skill and experience
- Provide meaningful work and remunerate accordingly
- Facilitate networking opportunities

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SPARC Key Questions

- What do we/should we really compensate? Effort? Results? Both?
- How do we set clear expectations?
- How do you do this in your organisation?
- Do you have a Reward Strategy from which your compensation plan emanates?
- How do/should we measure qualitative issues?

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SPARC Key Questions

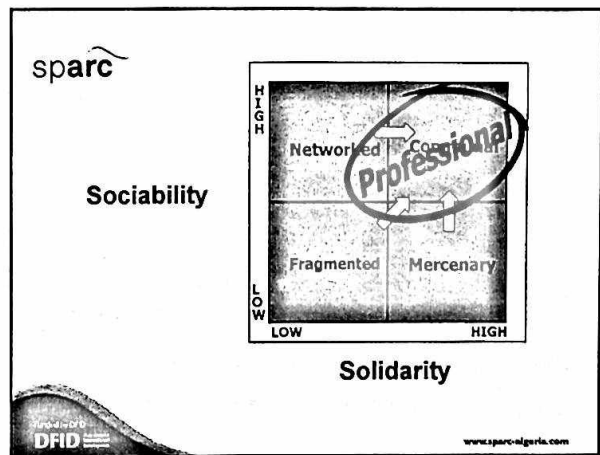
- What should constitute Compensation?
  - Monetary – salaries, wages, allowances
  - Non-monetary – Leadership, Culture, Engagement, L&D, Career Management, Respect for individuals
- What other systems should aid the Rewards System?
  - Performance Management
  - Resourcing
  - Competence Development
- What is the role of Line Managers in managing Compensation?

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SPARC Key Questions

- What do employees really want? Or need?
  - Needs or Wants – which is more appropriate to plan with?
- How does Effective Information Management affect Compensation?
  - Your Pay Promise? Do you respect it?
- What about the Variable Pay twist?
- What about Reporting?
  - To employees? To Management? To Third parties?

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## The Purpose of Compensation

To attract and retain top performers by offering industry competitive compensation levels.



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## Where does it come from?

Compensation strategy shall be derived from its human resources strategy and defined along the following key dimensions: pay market, competitive positioning and pay mix.



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## Guiding Principles

- The Organisation shall maintain equitable and consistent pay practices in compliance with applicable labour laws and within the constraints of its budgetary process and financial limitations
- The aim is to establish and maintain pay practices, which reflect local living costs and which are competitive relative to its defined pay market. As such compensation practices of the defined pay market shall be surveyed periodically and the findings used to review the salary structure to ensure its competitiveness and support of its compensation strategy



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## Guiding Principles Cont'd

- High performance is critical to the achievement of its business goals and objectives and as a part of its commitment to adopting and embedding a culture of performance shall reward employees at every level based on merit, competence and job performance
- Employees' compensation shall consist of both guaranteed and variable pay across all job groups
- Guaranteed pay is payable monthly in arrears
- Where employees have worked for less than a month, the pay shall be calculated on a pro-rata basis



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## Guiding Principles Cont'd

- The Organisation shall use an organised and systematic method of classifying jobs and administering salaries to ensure that pay levels are competitive and internally equitable. Separate salary structures shall however be maintained for different categories of staff
- Employees' compensation shall consist of both guaranteed and variable pay across all job groups. Guaranteed pay is payable monthly in arrears. Where employees have worked for less than a month, the pay shall be calculated on a pro-rata basis



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## Guiding Principles Cont'd

- Eligible employees shall be paid cash allowances as stipulated in the working conditions
- The variable pay component shall be tied to the achievement of the organisation's objectives and team goals. Management shall determine the amount payable or calculation applicable annually. This shall be regarded as staff bonus and team-based pay respectively



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**sparc** Job Analysis

...a systematic process for determining the tasks constituting a job and the skills and knowledge required to perform the job. The output from this process is the job description.

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**sparc** Job Description

... a statement outlining the objective, reporting dynamics, roles, responsibilities, Competencies required, key performance indicators, attributes required on each job.

- Line managers shall work with HR to ensure that all jobs have properly documented job descriptions. Job descriptions shall be documented for all newly created jobs or jobs that have undergone a significant amount of change

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**sparc** Job Evaluation

... a systematic process for determining the relative worth of jobs. The output of which serves as an objective basis for job grades, which ultimately corresponds, to the salary grade (structure).

- HR shall be responsible for evaluating all jobs with properly documented job descriptions to determine the equivalent job grade

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**sparc** Salary Structure

...a system of salary grades and ranges derived from the job evaluation process. Each salary grade corresponds to a range (salary band) with a specified minimum, mid point and maximum amount.

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**sparc** Compensation Surveys

...a periodic examination of similar practices to determine the competitiveness of pay practices and its support of the compensation strategies.

- The survey shall cover not only salary data for the defined pay market but also job content information. Hence benchmark jobs representative of the full range of jobs within the company will be selected and used to compare relative values of similar jobs within the pay market.

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**sparc** Job Classification

...proper matching of each employee to the appropriate job positions and grade level.

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Where are we Today?

- Today's enduring organisation must possess certain platforms...
- Promoting the sharing of Ideas, interests and emotions by recruiting compatible people – people who naturally seem likely to become friends
- Limiting hierarchical differences and focusing on effective communication and results



Where are we Today Cont'd?

- Human resources function acting like a friend to the system, and setting the example for geniality and kindness by caring for employees genuinely
- Developing awareness of competitors through briefings, newsletters, videos, memos or e-mails
- Creating a sense of urgency in people by developing a visionary statement or slogan for the organisation and communicating it effectively



Need to Create the Will to 'Win'

- Introduce performance-based rewards
- Create healthy internal competition
- Encouraging commitment to shared corporate goals, encouraging departments to have clearly defined mission statements and *running* with them

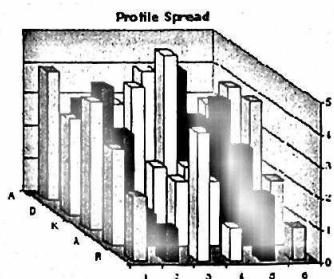


Leading by Example

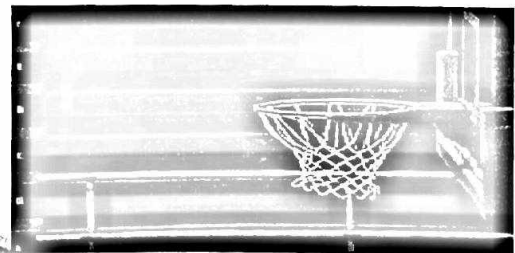
- Being the best example and reference point for the culture in place!
- The human resources management function must now proactively SIT at the table!




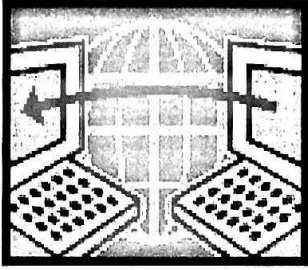
Statistics Aid Effective Communication and Decision Making!





Innovation is Key





**Technology Is Now the Order of the Day!**

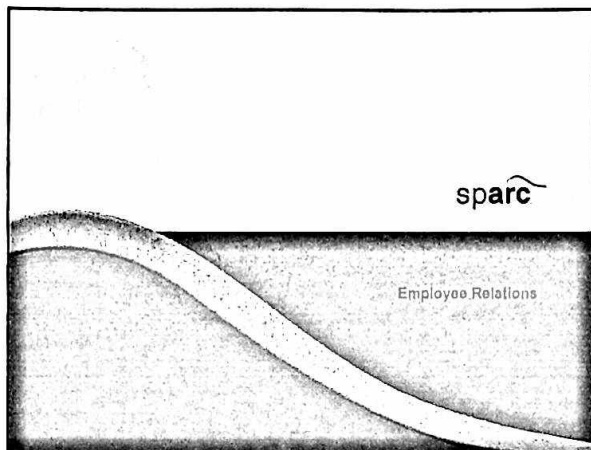



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**The Challenge**

**People managers must now demonstrate the abilities that attract trust and confidence by top management!**


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**SPARC** Session Objectives

- To provide participants with preliminary knowledge base to begin to function in the new HR department
- To acquaint participants with the core areas of HR concern in ER
- To identify the essence of the Labour Act germane to HR duties

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**SPARC** Session Content

- Labour & employment laws as they affect IR & ER
- Grievance procedures & industrial dispute settlement
- Collective bargaining process
- HR role in understanding employee relations

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**SPARC** Setting the Tone

- The challenges that changes pose often become overwhelming if not well understood by the HR practitioner. Gone are the days when HR is all-comer field. It is now well professionalised
- The HR practitioners then need to get very familiar with the provisions of the labour laws, the core areas in IR and ER to deal effectively with labour-management issues that will definitely arise in the workplace
- Hence this session

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**SPARC**

**LABOUR AND EMPLOYMENT LAWS**

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**SPARC** Labour and Employment Laws

- Any HR practitioner worth their salt should be familiar with the labour laws and legislations because they guide every decision concerning industrial relations practice
- Both national and international laws are germane to the duties of a HR officer
- We can only gloss over them here

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- Labour Act Cap 198 LFN 1990
- Trade Union Act, Cap 473 LFN 1990
- Trade Unions (Amendment) Act, 2005
- Trade Disputes Act, Cap 432 LFN 1990
- Employees' Compensation Act, 2011
- Factories Act, Cap 126 LFN 1990

- Universal Declaration of Human Rights, 1948
- Right to Organise and Collective Bargaining, C 98, 1949
- Equal Remuneration Convention 100, 1951
- Abolition of Forced Labour, C 105, 1957
- Discrimination (Employment and Occupation) C 111, 1958
- Employment Policy Convention 122, 1964
- International Covenant on Economic, Social and Cultural Right, 1966
- Declaration on Equality of Opportunity and Treatment for Women Workers, 1979
- Discrimination (Employment and Occupation) C 111, 1958
- Employment Policy Convention 122, 1964
- International Covenant on Economic, Social and Cultural Right, 1966
- Declaration on Equality of Opportunity and Treatment for Women Workers, 1979

## GRIEVANCE PROCEDURES AND INDUSTRIAL DISPUTE SETTLEMENTS

## Grievance Procedures and the Dispute Settlement Process

- Conflicts are inevitable in human interactions. It behooves the HR officer to constantly endeavour to make conflicts work in favour of progress and unity in the organisation
- This means, conflict can be positive if well handled
- We shall run through the statutory procedure for industrial conflicts resolution

## Conflict Resolutions Mechanisms

- Statutory Internal Machinery (Trade Disputes Act Cap 432 LFN 1990)
  - Grievance Handling Procedure
  - Mediation
- Statutory External Machinery (Trade Disputes Act Cap 432 LFN 1990)
  - Conciliation
  - Arbitration (IAP)
  - Board of Inquiry
  - Adjudication (NIC)

## Trade Dispute Resolution Process

- Mediation
- Conciliation
- Arbitration
- Adjudication
- Court of Appeal

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## COLLECTIVE BARGAINING

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### Collective Bargaining Process

- What often leads to industrial conflict is the breakdown in collective bargaining or the implementation of collective agreement
- If the collective bargaining is well managed, and the collective agreement respected by all parties, conflict is minimised. The process of collective bargaining is easy to follow and implement

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### Defining Collective Bargaining

A process of interest accommodation which includes all sorts of bipartite or tripartite discussions relating to labour problems and directly or indirectly affecting a group of workers.

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### Functions of Collective Bargaining

- Standard-setting machinery for wages determination and employment conditions
- Guiding principle for industrial and employee relations
- Means of establishing rules guiding relationships through Collective Agreement
- Providing method of settling grievances occurring due to and in the course of employment relations

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### Core Issues

- Wages and salaries
- Condition of service and employment
- Allowances and bonuses
- Hour of work and overtime
- Leave periods
- Fringe benefits
- Productivity bargaining
- As contained in Collective Agreement

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## UNDERSTANDING EMPLOYEE RELATIONS

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## Concept of Employee Relations

- Employees, workers and labour are synonyms, referring to people who exchange their talents, skills, energy and knowledge for monetary compensation in employment situations
- Employees, being human, have feelings and emotions, so they are sensitive and can act and react when provoked
- Employee relations consists of consciously developed policy for the welfare of the employees

## Employee Relations Aspects

Issues involved in employee relations include the following:

- Provision of conducive working environment
- Right to associate and collectively bargain
- Access to equitable reward system
- Positive reinforcement towards motivation
- Training and development
- Job enrichment process
- Access to competitive wage system
- Productivity improvement schemes
- Employee ownership participation
- Occupational health and safety
- Right to good leadership

## Employer and Employee Relationship

- Employees will give their best in service if the employer recognises their unique importance in the organisation
- Employers often treat labour as just one of the factors of production resulting in grave consequences
- The level of rapport between labour and employer dictates the mood of the enterprise

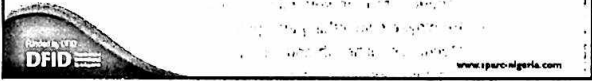
## CURRENT TRENDS IN INDUSTRIAL RELATIONS

## Current Trends

- Inability to pay living wages to workers causes industrial unrest and low productivity
- Government establishments now have industrial relations departments for negotiation and administration of collective agreements
- Industrial unions now employ specialists to deal with negotiations, grievances, legal services, and public relations
- Inadequate functional infrastructures for economic growth has implications for industrial relations
- Global trends include ICT, flexi hour, home working, individualised employment contract, etc.
- Issues in Nigerian labour laws yet to adjust to global trends to strengthen employment relations

## CONCLUSION

- Since change is the only constant factor in life, trends in IR and ER will continue to be in a state of flux
- HR managers are enjoined to keep abreast of emerging trends so as to move with the time
- It behoves HR managers to always weigh the consequences of implementing new trends and changes; and recommend the best to management for implementation



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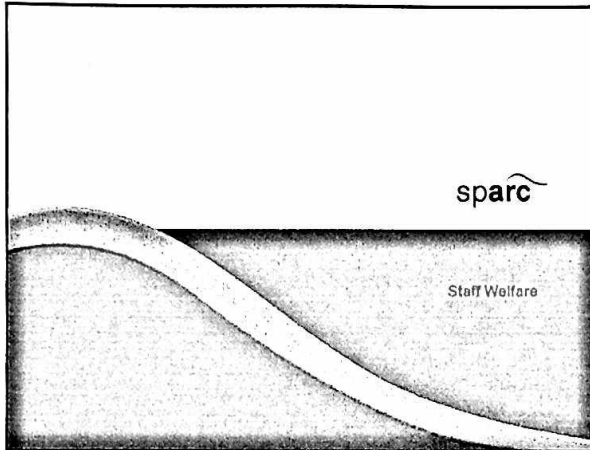
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**sparc** Objectives

At the end of this course, participants should be able to:

- Explain what HR best practices are
- Identify welfare services that could be offered to staff
- Mention some ways of retaining staff in an organisation
- Make some relationship between welfare, staff motivation and performance

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**sparc** Approach

- Best HR Practices
- Group Discussions
- Staff Welfare
- Questions and Answers
- Close

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**sparc** Group Discussion

- Employees in some companies are happy to stick with the company, while others look for a change. Why?
- Enumerate your points as you discuss

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**sparc** Best HR Practices

Some companies know how to take good care of their employees:

- They provide a working environment that helps them retain their identity
- They allow them to prove themselves and grow along with the company
- This helps in the creation of a highly satisfied and motivated work force
- Healthy HR practices encourage the growth of the organisation as employees play a major role in the well-being of a company

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**sparc** Work Environment

A safe and happy workplace:

- Makes the employees feel good about being there
- Each one is given importance and provided the security that gives them the motivation and incentive to stay
- This is usually achieved through internal surveys to find out whether they are satisfied and if not what they think needs to be changed

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## Open Management

- Employees don't like the feeling of being kept in the dark about what is happening in the company
- Management should be open about policies, services, clients, goals and objectives
- This encourages participative management
- Asking them for ideas on how to improve will get their creative juices flowing
- Being open about everything related to the organisation will help in building trust and motivate the employees



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## Performance Incentives

- A pat on the back, bonuses or giving some other compensation for a job well done is appreciated
- Organisations that struggle to keep up with the attrition rate are mostly those that think employees are 'just' doing their job
- Incentives can be implemented at the individual as well as the team level
- Can also help identify people who can perform well as leaders at higher levels in the organisation



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## Staff Welfare

*'Staff spend at least half their waking time at work or in getting to it or leaving it. They know they contribute to the organisation when they are reasonably free from worry, and they feel perhaps inarticulately, that when they are in trouble they are due to get something back from the organisation' – Martin (1967)*



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## Staff Welfare Services

- Employers provide welfare services or facilities to their workers not only on humanitarian bases but also because it makes good 'business sense'
- External health, family, money and other worries can adversely affect employees' performances
- It is therefore in the employer's interest to assist in addressing these problems



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## Reasons for Welfare Services

Welfare services are provided by employers either as a result of genuine concern for the:

- Organisational benefits of good welfare
- Legal requirements
- Demands of labour unions



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## Legal Welfare Provisions

- The minimum legal welfare services required of an employer are stipulated in the Factories Act (ss. 40-44)
- They include the supply of good drinking water, washing facilities, provision of cloak rooms, medical and canteen facilities.




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**sparc** Economic Welfare

Some examples:


- Salary advances to relieve financial problems
- The Labour Act allows the employers to:
  - Make a salary advance of not more than one month's pay
  - Deduct such an advance over a period of time
  - Not to grant a second advance until the first one is fully repaid.
- Bursaries – educational assistance or tuition aid
- Death in service benefits
- Personal accident insurance – covering accidents either at work or elsewhere
- Subsidised meals or vouchers
- Cooperative Societies

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**sparc** Provision Of Transport


Provision of transport to and from work may be classified as an economic welfare service

- The Labour Act 1974 (S. 14) makes it obligatory for the employer to provide free transport or an allowance in lieu where the worker is required to travel 16 km or more from his place of work to another work site.
- The Factories Act imposes a duty on the employer to ensure that the vehicle or vessel provided for the transportation of workers is suitable, in good sanitary condition and not over-crowded
- Some employers provide vouchers to subsidise car fuel costs

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**sparc** Social Welfare

- These are provided for social and humanitarian purposes
- A cost to the employer and a benefit to the worker
- For example:
  - Provision of medical services to staff and family
  - Legal Aid as a Social Welfare is a service rendered by granting legal aid to employees in need other than for criminal offences
  - Counselling – private counselling on workers' private and domestic affairs is a service given to workers freely by the management
  - Recreational facilities such as sporting or musical facilities and clubs

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